



Regional Office of Acquisition and Assistance

ANNUAL PROGRAM STATEMENT (APS) No: APS-386-16-000001, Amendment#04

June 25, 2018

SUBJECT: Extension of APS Closing Date; Update technical areas

Amendment No. 04 to APS No: APS-386-16-000001 is hereby issued to make the following changes effective the date of this amendment:

I. The APS Closing Date is extended to June 30, 2019.

II. The chart describing Concept Paper Selection decisions under Section IV: Application and Submission Information; B. Application Process; Phase1: Concept Paper submission is extended to include the following information:

All Concept Papers received:	Will be reviewed by a USAID/India Selection Committee convening on/or about:
After APS Amendment # 4 issuance and before August 24, 2018	August 31, 2018
After August 24 and before November 11, 2018	November 18, 2018
After November 11, 2018 and before February 21, 2019	February 28, 2019
After February 21 and before June 30, 2019	July 10, 2019

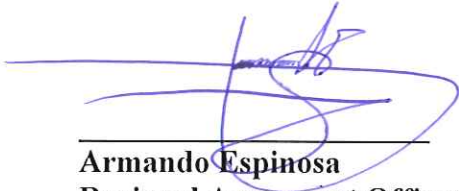
III. The Appendix B 'Program Funding Areas' of the original APS is being replaced in its entirety by Annex A of this amendment.

IV. Concept notes for new activities under the APS will only be accepted in the following technical areas as defined in Annex A of this amendment:

1. Health: Concept notes will be accepted from either new or existing partners/recipients in the following areas:
 - a. Ending Preventable Maternal and Child Deaths (EPCMD)
 - b. Family planning as an intervention for EPCMD
 - c. Tuberculosis (TB)

2. Urban India Water and Sanitation for Health Alliance: Concept notes will be accepted from either new or existing partners/recipients.
3. Energy and Forestry: Concept notes will be accepted from either new or existing partners/recipients.

USAID reserves the right to fund new or existing partnerships outside of these areas. For purposes of this Amendment, “existing partners/recipients” means partners that have an existing funding relationship with USAID/India at the time of submission of the Concept note.



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ANNEX A – PROGRAM FUNDING AREAS

The goals of health partnerships under the *IPP* are to (1) increase the capacity of India's health system to improve the health of vulnerable populations in India; and (2) develop innovations that impact people's health at the BOP.

1. **Ending Preventable Child and Maternal Deaths (EPCMD)**

Minimum award amount: \$3 million (Rupees 19.5 crores)

India has achieved major victories in health in the past two decades. Maternal mortality has decreased by 77 percent, from 570 in 1990 to 130 per hundred thousand live births in 2016 (Sample Registration System, SRS 2018). Child mortality has declined by 67 percent, from 119 in 1990 to 39 per thousand live births in 2016 (SRS 2017). Despite these strides, India contributes to the highest number of maternal and child deaths globally with more than 40,000 maternal deaths and over one million under five child deaths annually. There are significant differences in health outcomes and access to care across India's 29 states, between rural and urban areas, by socioeconomic divisions, and by gender. Two-thirds of all child deaths occur in five northern states. Gender inequality can often undermine health outcomes and the quality, effectiveness, and accessibility of services in India. Nearly two-thirds of pregnant women are anemic and poorly nourished, which can result in life-threatening hemorrhage and other potentially fatal complications after delivery. Young mothers are most affected, with nearly half of all maternal deaths among women 24 years of age or younger. Poor nutrition and health among India's mothers can result in premature births, and India accounts for over one-third of all global newborn deaths due to prematurity.

Partnership objectives: Our goal is to help India in reducing its under-five mortality to below 20 deaths per 1,000 live births, and maternal mortality to less than 50 deaths per 100,000 live births by 2035. USAID/India invites applications for partnerships to improve access to affordable and quality Maternal and Child Health (MCH) services in diverse geographies covering urban and rural areas of India with a special focus on states most burdened by maternal and child deaths. Proposed MCH interventions should address critical gaps in access to and/or quality of MCH services in India. USAID/India is interested in proven, sustainable, high impact MCH interventions focused in high burden areas which, when brought to scale, through demonstration of innovative approaches, will significantly accelerate reduction in child and maternal mortality. Partnerships should support and complement National Rural Health Mission/National Urban Health Mission resources and resources provided by other development partners and funding agencies. Applicants should demonstrate how the proposed intervention leverages and links resources and initiatives that affect MCH, including but not limited to nutrition, gender, socioeconomic barriers, Water and Sanitation for Health (WASH), and/or tuberculosis (TB) or Human Immunodeficiency Virus (HIV) comorbidity.

2. Family Planning as an Intervention for EPCMD

Minimum award amount: \$3 million (Rupees 19.5 crores)

In India, youth fertility accounts for more than half of total fertility. India currently has the largest ever population of young people, with 21.2 percent of the population (243 million people) between the ages of 10 and 19 years. Young women, even adolescent women, are already burdened with childbearing and rearing. As per estimates, 58 percent of all births in India, comprising nearly 15 million births annually have a birth interval of less than 36 months. Health risks for the mother and child are higher if the mother delivers her child when she is less than 18 years of age and when there are short inter-pregnancy intervals.

A key intervention for ending preventable child and maternal deaths is access to and utilization of voluntary family planning (FP) and reproductive health (RH) services. Family planning can prevent nearly 30 percent of maternal deaths and 25 percent of the deaths of children under five by appropriately timing and adequately spacing pregnancies. Investing in FP services yields profound health, economic, and social benefits for families and communities. USAID's FP activities in India focus on supporting an individual's right to make an informed and voluntary choice about FP and on access to any desired FP method, including short-term, long-term, and permanent methods.

Partnership objectives: USAID/India invites applications for partnerships to work on innovative, high impact approaches to improve access to and utilization of quality FP services with the objective of contributing towards the family planning 2020 (FP2020) goals for India and supporting the India country FP2020 action plan.

Proposals should focus on delivering effective, safe, and high-quality FP information, products and services to reaching the unreached communities who are most in need, such as tribal poor, and urban poor and underserved population segments such as adolescents. Proposals should be using evidence-based approaches that are acceptable to the individuals and communities served and are grounded in principles of voluntarism and informed choice. USAID/India is interested in partnerships that support and complement National Rural Health Mission/National Urban Health Mission resources and resources of other development partners and funding agencies.

3. Tuberculosis (TB)

Minimum award amount: \$2 million (Rupees 13 crores)

India carries the highest burden of TB in the world with an estimated 2.79 million new cases reported annually. A staggering 423,000 deaths are reported annually and more than 87,000 people are co-infected with HIV/AIDS and TB. The USG is working collaboratively with the GOI, the private sector, and local partners to help India in its fight against TB. However, more work is needed to accelerate progress toward controlling TB in India.

Partnership objectives: Our goal is to help India achieve 90 percent case detection and treatment success for all forms of TB by 2017. USAID/India is seeking partnerships to engage in areas of TB care and management. Approaches should focus on one or more of the following areas:

- **Operations research (OR):** Platforms to engage public and private sector institutions/individuals to conduct OR to identify solutions and methods for addressing identified gaps in the Revised National TB Control Program (RNTCP) and/or management of TB by private sector providers. For example, applicants could propose OR to encourage compliance with evidence-based standards such as the “*Standards for TB Care in India.*”
- **Diagnosis and treatment adherence:** Early diagnosis and treatment adherence are the cornerstones of TB control. Applications should focus on strategies to improve early diagnosis of TB and drug-resistant TB and improved treatment adherence by enabling patient support systems including innovative health financing, digital technology solutions, nutrition and other social support mechanisms.
- **Multi-sector coalitions/partnerships (including the corporate sector) for TB control:** There are many TB control activities underway in India. Applications may address how these disparate organizations could be galvanized for greater success in diagnosis, prevention and treatment and outcomes.
- **Integration with maternal, newborn and child health services:** Applicants may propose integration of TB screening, diagnostic and referrals into services for maternal, newborn and child health. Proposals focusing in this area should explain how proposed methods of integration would improve early diagnosis of TB and drug-resistant TB, improved case notification, and increase treatment adherence significantly, not incrementally, improving TB outcomes.
- **Diagnosis and treatment of childhood TB:** Twenty-four percent (24%) of infant mortality in India is due to respiratory disease. Applicants may propose methods and techniques showing significant decrease in pediatric mortality to enable early diagnosis of TB among children.

4. Urban India Water and Sanitation for Health Alliance

Minimum award amount: \$2 million (Rupees 13 crores)

Like many countries, especially in Asia, India is facing a growing urbanization challenge. One of every three people now resides in an urban area, many in informal settlements or slums. Approximately 64 million people live in slums nationwide representing 17 per cent of all urban households. The growing population of cities

continues to place enormous pressure on Urban Local Bodies (ULBs) for delivery of basic services such as transportation, water, sanitation, and electricity. ULBs have few resources and limited capacities to meet the challenge.

Not surprisingly, many urban residents, particularly those in slums, lack adequate access to safe water and sanitation services. As many as one-third of slum dwellers don't have access to sanitation facilities as compared to 19% of those living in other parts of the city. Moreover, poor access to water and sanitation services and poor hygiene behaviors have a strong link with poor health. Diarrhea, largely attributable to water-borne disease, is the third leading cause of deaths and accounts for 13% of under-five mortality across India.

Desired Results: The aim of the USAID/India WASH program is to improve health through increased access to safely managed water and sanitation services for the urban poor. The program aims to achieve this goal through:

1. Strengthening national, state, and municipal WASH programs through technical support to the GOI, urban local bodies and empowerment of communities.
2. Increasing innovative approaches of the private sector engagement that improve access to sustainable water and sanitation and increase adoption of healthy hygiene behaviors.
3. Piloting and expanding innovative financing models that address the problem for municipalities, small and medium enterprises, and households for WASH.

Partnership Objectives: Our goal is to help India in its efforts to make India open-defecation-free by October 2, 2019. USAID/India is seeking to scale one to two promising interventions (existing) that increase access to improved WASH services for the urban poor. USAID/India is particularly interested in those ideas that aggregate successful interventions and leverage resources from public and private sector actors (e.g., those engaged in national programs such as the urban Swachh Bharat Mission (SBM), Smart Cities Mission, Atal Mission for Rejuvenation and Urban Transformation (AMRUT), or other new GOI urban focused initiatives.) USAID/India is also interested in applications that offer incentives such as seed grants mechanisms, prizes, challenges and innovative financing models for accelerating big, bold ideas targeting improvements in the urban WASH sector.

Background: USAID/India, the GOI and the Bill & Melinda Gates Foundation have entered into collaboration with the Ministry of Urban Development to provide sustainable sanitation solutions in urban areas, eliminating open defecation, and safely containing, treating, and disposing of human waste. USAID/India is providing technical and management support for successful implementation of the urban sanitation program, including setting-up a national Program Management Unit (PMU) within the MoUD. USAID/India has established a knowledge partnership with the MoUD to identify and scale best practices, build technical capacity, and advance public-private partnership focused on sanitation. USAID/India linked to the GOI's

“Smart Cities” initiative, and is working in Vishakhapatnam, promoting water and sanitation as an essential element of sustainable and inclusive urban development.

References:

USAID Water and Sanitation Page including links to Water and Development Strategy: <https://www.usaid.gov/what-we-do/water-and-sanitation>

USAID India WASH Page: <https://www.usaid.gov/india/water-and-sanitation>

5. Energy and Forestry

Minimum award amount: \$1 million (INR6.5 crores)

The strategic objectives of the Government of India (GOI) also contribute to the priorities of the U.S. Progress on India’s aspirations for sustainable growth will help to drive opportunities for both the U.S. and Indian economies, and help to manage the risks of extremist ideologies that threaten our common future. Moreover, in an age of increasing pressure on our public resources, the principles of partnership, alignment on common agendas, and careful coordination that underlie aid effectiveness have become central to our effort to achieve the necessary impacts. India is currently the fourth largest energy consumer in the world with the fastest growing economy in Asia. The country will have the world’s largest population of 1.5 billion people by 2030 with a GDP of \$4 trillion. Energy security, trade, and ecosystem management is critical to India’s economic growth. A number of activities have the potential to support U.S. goals while achieving economic development and security in India.

The goal of this solicitation is to support interventions that scale-up the deployment of affordable, advanced and reliable energy technologies in the Indian energy system; and innovative solutions, including ecosystem services, in the Indian forestry sector. Interventions should support India’s economic development and energy security in India while acting on opportunities that are mutually beneficial to the Indian and US economies and national security, and that promote aid effectiveness.

Forests in India are important for its economic development while providing sustenance and livelihoods to around 300 million people. The Government of India’s (GOI) National Forest Policy emphasizes maintaining ecological security and meeting the livelihood requirements of forest-dependent communities as an important objective of forest management. However, the current forest management approaches and forest degradation limit the ability of the forest ecosystems to provide goods and services needed for India’s growing population and to support the country’s economic growth.

An understanding of the dependencies and flows of ecosystem services is critical to be able to manage forest landscapes to maximize and enhance the delivery of these services to beneficiaries. There is an intrinsic relationship between forests and water, but the role of forests in water provisioning is not sufficiently understood, which limits the ability to most effectively manage forest landscapes. Given the growing

and serious issue of water insecurity in India and its documented role in limiting agricultural productivity and electricity generation, as well as access to public services, hydrological services are of particular concern within the spectrum of forest ecosystem services. Also there is a need to adopt technical and governance innovations that improve forest conservation and provide incentives to local communities and strengthen the livelihoods of forest dependent communities.

India's energy sector is undergoing rapid changes, including rapid deployment of advanced energy technologies (smart grid infrastructure, solar and wind energy, and energy efficiency). Growing India's energy system is limited by the inefficiencies of India's utilities (DISCOMs) and the challenges to absorbing variable and uncertain energy. The GOI seeks to grow its energy sector with the deployment of 160 GW of wind and solar, smart grid infrastructure, and demand side services. India's wind/solar goal is roughly \$310–\$350 billion of investment. India's energy sector provides significant opportunities for investment, entrepreneurship and innovation, including opportunities for US companies¹.

Partnership Objectives: USAID/India is seeking to scale-up innovations in the advanced energy and forestry sectors. Priority areas for partnerships are described below:

- i. **Forestry:** the goal is improved management of forest landscapes in India for enhanced ecosystem services and increased economic opportunities. USAID requests concepts to address any or all of the following issues.
 - **Strengthen Management of Forest Landscapes.** The focus is the systems and processes for managing forest landscapes, including integration of technology to enable effective decision-making. One focus is on the field application of the National Working Plan Code by state forest department personnel, with an emphasis on enabling wider adoption of the ES approach to forest management. USAID will prioritize interventions that (a) increase the application of management planning processes, (b) improve the collection, processing and application of information in management decisions, and (c) expand use of strengthened monitoring and reporting systems.
 - **Lay the Foundation for Factoring Ecosystem Services (ES) into Planning and Management of Forest Landscapes.** The primary ES of interest are hydrological services, biodiversity, and other ES prioritized by the GOI. Interventions will increase actionable knowledge of ES, their value in underpinning economic activity throughout target landscapes and linkages across management units within the landscapes. USAID will prioritize intervention to (a) quantify ES and their flows through target landscapes, (b) conduct valuation of

¹ The U.S. currently exports about \$5.45 billion of technology and services to India every year, and U.S. power generation equipment exports reached nearly \$150 million in 2015 and the U.S. Department of Commerce rated India as the second most promising market worldwide for U.S. solar energy exports.

ES to those deriving benefits and incorporating those values into cost-benefit analysis of land use and policy alternatives, (c) incorporate ES and their values into management processes, and (d) developing incentive mechanisms for managing landscapes to provide ecosystem services.

- **Increase Economic Opportunities from Improved Landscape Management.** The objective is to increase reinvestment in natural capital in ways that encourage sustainable management of landscapes and their ecosystems that generate economic benefits for forest-dependent communities and contribute to national economic growth. USAID will prioritize interventions to (a) identify viable economic opportunities among value chains based on forests and other land uses, (b) if the in-depth analysis finds opportunities, then the focus will shift to strengthening enterprises within those value chains, (c) encouraging investment in viable economic opportunities by private and public sectors, and (d) facilitating partnerships that can take the selected value chains to scales sufficient to reduce or reverse landscape degradation.

Successful concept papers will also clearly explain how these approaches will help to strengthen U.S. national security, as well as mitigate the risks of expansion of violent extremism in the region.

- ii. **Advanced energy:** the goal is to support interventions that scale-up the deployment of affordable, advanced and reliable energy technologies in the Indian energy system.
- **Electricity distribution sector innovation:** USAID/India will prioritize concepts that support better performance of distribution utilities (DISCOMs) in order to create an enabling environment for advanced energy solutions. Concepts may describe solutions that target utility management and operations. Solutions for efficient and economical operations may include, for example, smart grid investment models, data analytics and smart grid applications, AT&C loss baselining, short-term, mid-term and long-term planning strategies. Solutions for more effective management may include (but not be limited to) public-private partnership restructuring, capacity building for DISCOM staff, logical HR approaches to increase gender diversity, and staff incentive programs for loss reduction. Interventions should engage central and state level governmental actors, DISCOMs, as well as private sector actors.
- **Large-scale adoption of renewable/variable energy (RE):** Strengthening India's electrical system to absorb significant increases in power generation from RE. USAID/India will prioritize concepts that enable more economical deployment of RE and inform RE target setting. Concepts that demonstrate how to engage utilities in economical strategies for RE adoption – procurement efficiencies, long-term planning, both for utility-scale and distributed energy are welcome. Concepts may describe strategies on how to enable adoption of RE without exacerbating the tariff cross-subsidy challenges. Approaches for

motivating large consumers to adopt RE (onsite or offsite) will also be considered. In addition, concept notes may aim to develop business models and implementation strategies to enable scale up solar strategies for agricultural irrigation that simultaneously reduce the utility losses and reduce water consumption. Interventions should engage central and state level governmental actors, DISCOMs, as well as private sector actors.

- **Regional Energy Integration in South Asia:** Innovative approaches and solutions to promote cross-border power trade in South Asia with the ultimate goal of regional integrated grid and a regional power market. USAID/India encourages approaches that engage governments and civil society in South Asia, particularly on the Eastern grid (India, Nepal, Bangladesh and Bhutan) to strengthen institutions, build capacity and create an enabling environment for power trade in the region. USAID will encourage concepts that build on the legacy of USAID's past work in South Asia, specifically in terms of institutionalizing regional forums that harmonize procedures, operations and markets.

Successful concept papers will also clearly explain how these approaches will help achieve mutual economic opportunities for the U.S. and India.