



Regional Office of Acquisition and Assistance

ANNUAL PROGRAM STATEMENT (APS) No: APS-386-16-000001, Amendment#03

August 31, 2017

SUBJECT: Extension of APS Closing Date; Update technical areas

Amendment No. 03 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, 2018.

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 # 3 issuance and before November 23, 2017	November 30, 2017
After Nov 23 and before February 23, 2018	March 2, 2018
After Feb 23 and before May 25, 2018	June 1, 2018

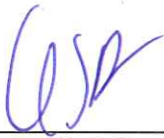
III. The Appendix B 'Program Funding Areas' of the original APS is being replaced in its entirety by Annex A of this amendment.

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. Food Security and Nutrition: Concept notes will be accepted **from either new or existing partners**
2. Health: Concept notes will be accepted **for expansion/scale up in scope and activities from only 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)

3. Urban India Water and Sanitation for Health Alliance: Concept notes will be accepted **for expansion/scale up in scope and activities from only existing partners/ recipients**
4. Energy and Forestry: Concept notes will be accepted **from either new or existing partners.**

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 two thirds, from 570 in 1990 to 190 in 2013 per hundred thousand live births. Child mortality has declined by 55 percent: from 119 in 1992 to 53 per thousand live births in 2013. Moreover, the neonatal mortality rate has decreased from 51 in 1990 to 29 deaths per one thousand live births in 2013. In 2013, neonatal deaths accounted for more than half of under-five mortality. Despite these strides, India contributes to the highest number of maternal and child deaths globally and faces many formidable challenges as it tries to reach 311 million women of reproductive age, 253 million adolescents, and 138 million young children with high-impact and affordable health services. 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. Moreover, India carries the highest burden of tuberculosis (TB) in the world, with an estimate of 2.2 million new cases.

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, 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 lead state actors. 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. According to the National Family Health Survey (NFHS-3), 47 percent of women between the age of 20 and 24 are married, and nearly 20 percent gave birth before age 18. 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) 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 promoting healthy timing and spacing of pregnancies and contributing toward the overall goal of ending preventable child and maternal deaths in India.

A key recent trend in India is the move away from static clinics, particularly in the poorest locations, to service-delivery methods and settings, including social marketing, social franchising, pharmacies, community-based distribution of products and services, and even provision at clients' doorsteps. Increasingly, there is a move toward private-sector service delivery designs, in part because of the need to promote financial sustainability. Similarly, the development sector is moving toward approaches that crowd-source innovative solutions to development challenges.

Proposals should focus on delivering effective, safe, and high-quality FP information and services to individuals who are most in need, using evidence-based approaches that are acceptable to the individuals and communities served and are grounded in principles of voluntarism and informed choice.

3. Tuberculosis (TB)

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

India carries the highest burden of TB in the world with an estimated 2.2 million new cases reported annually. A staggering 220,000 deaths are reported annually and more than 110,000 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 control. Approaches should focus on TB prevention and control in one or more of the following focus 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. One area of specific concern is management of drug-resistant TB in the private sector. Applications should focus on strategies to improve early diagnosis of drug-resistant TB and improved treatment adherence.
- **Multi-sector coalitions 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 to improve 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 (INR 7 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:

1. 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 ES to those deriving benefits and incorporating those values into cost-benefit analysis of land use and policy alternatives, (c) incorporate ES and their

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.

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.

2. 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.

6. Food Security and Nutrition

Minimum award amount: \$1 million (Rupees 7 crores)

India's intensive focus on agricultural development over the past 40 years has resulted in increased agricultural production through the adoption and adaptation of new technologies and production methods. India is now one of the world's largest agricultural producers of staple crops, fruits, horticulture, and dairy. Many of India's agricultural successes have emerged from its ability to develop and apply cost-effective development solutions. While India has pioneered innovative solutions for overcoming the vicious cycle of global poverty and hunger by fostering inclusive agriculture-led growth; certain agriculture systems in India and around the globe, particularly in Asia and Africa, where the most vulnerable people depend on agriculture for livelihood, are still facing severe challenges.

Under the agricultural sector, USAID/India's overarching goal is to support partnerships with public and private sector organizations to achieve food security and nutrition goals. USAID/India will support programs that aim at capitalizing India's expertise and transferring appropriate innovative solutions to address development challenges in other countries to reduce global food insecurity. Partnerships with public and private sector should aim at identifying, testing, adopting, and transferring Indian agriculture innovations to benefit other Feed the Future (FTF) focus countries in Asia (more information is available at: <https://www.feedthefuture.gov/countries>). Innovations could be technologies (e.g. low cost agricultural equipment), processes (e.g. conservation agriculture practices) and institutional arrangements (e.g. dairy cooperative model).

USAID may also support programs in India that specifically aim at deployment of technologies that will help farmers and vulnerable communities cope with risks associated with increased rainfall variability and changing cropping patterns. While these interventions should aim at supporting smart agriculture, agriculture-nutrition sensitive and adaptive strategies for India; they may also be applicable for scaling up in other country contexts.

USAID/India invites concept notes from diverse institutions to source new ideas, innovations, technologies, resources, skills and business models that promote economic growth and development in Asia and Africa. Private-sector players such as Micro, Small and Medium Enterprises, or large agri-businesses can partner with USAID to enhance developmental outcomes that are nested within its overall business strategy. Such collaborations in development should help harness private-sector expertise, leverage additional financing from the applicant, and expand rural economies in a sustainable way.

Private-sector led initiatives could collaborate with stakeholders in the agricultural landscape, such as government agencies, farmer cooperatives, service/ technology providers, agriculture produce aggregators, financial and research institutions, and food-processors to catalyze sustainable agricultural growth in targeted geographic areas. Private sector led contributions for developmental outcomes could include: co-funding, capital investments, agriculture equipment, knowledge, trainings and capacity building, input supply, market-driven technical inputs, access to networks, new markets for agricultural surpluses, value-chain development, food processing, storage and transport, employing marginalized populations or marketing products adapted to their business plans.

Partnership objectives: USAID/India seeks to establish partnerships in order to make focused investments in the following categories:

- Improving agricultural productivity by improving access to technologies; foster regionally appropriate livestock, poultry, fisheries, horticulture and staple crops production and productivity; and farm mechanization.
- Improving nutritional status of women and children through improved agriculture-nutrition sensitive, access to diverse foods, improved nutrition-related behaviors and service delivery.
- Building sustainable market systems by following an integrated approach, improving water productivity and resource use efficiency in crop production, risk reduction through crop/weather-based advisory services and climate information platforms.
- Expanding agricultural markets and trade through value chains approach, post-harvest management, promoting small and medium enterprises, regional trade facilitation and market access.
- Cross-cutting themes that address gender equality and female empowerment by ensuring that food security programs are accessed equitably both by men and women; and use of Information and Communication Technologies (ICT) for ‘Bottom of the Pyramid’ populations / rural populations to gain equitable access to market information, quality inputs.

Partnerships in agriculture/food security and nutrition sector could follow one of the below models:

1) Transfer of proven Indian innovations to FTF countries in Asia and Africa:

Proven innovations are defined as those innovations that are commercially viable,

adopted by a minimum of 5000-10,000 users (individuals, farmers, micro-entrepreneurs, cooperatives, service providers) in at least one-to-three different agro-ecosystems in India. Partnerships under the IPP could support sharing and transfer of these proven innovations with target countries in Africa and Asia.

For example: USAID/India is partnering with an Indian private sector entity to promote food security in Nepal through the transfer of affordable, innovative Indian farm mechanization, drip and solar irrigation.

2) Adaptable solutions/ interventions for vulnerable geographies of India: Support deployment of technologies and processes that have the potential to build adaptive capacity in the most vulnerable geographies in India. These innovations or best practices should be adopted by a minimum of 5000-10,000 users (individuals, farmers, micro-entrepreneurs, cooperatives, service providers) and have the potential for scale up in other country context.

For example: USAID/India is supporting partnership in services (crop advisory, insurance, ICT services) for resilient agriculture across nine states in India.

3) Pilot innovations for commercial viability in a limited pilot scale (up to 1000 stakeholders in India) and subsequent cross-border transfer of innovations in analogous territories: This is a hybrid model which aims to first pilot stage 2 innovations, adapt and validates the commercial viability (adopted by at least 1000 stakeholders) in India for 2 years. If found appropriate, USAID could support the expansion in subsequent years for wider deployment to analogous territories/ecologies in Africa and Asia.

For example: USAID/India supported crop management and cutting-edge technologies among 600,000 farmers in India. The program is now engaged in transferring best practices from India to Nepal and Bangladesh to improve agricultural productivity and increase incomes of smallholder farmers.

Project concepts should reflect strong engagement from private sector as an effective way to address development challenges in the agriculture/ nutrition sectors. USAID will give priority to concepts that demonstrate tangible participation of private sector in contributing resources and sharing management risks. Private sectors will have the latitude to transfer agricultural technologies/ innovations in any of the Asian countries such as Afghanistan, Bangladesh, Cambodia, Nepal and Tajikistan.