Issue Date: March 25, 2022
Deadline for Questions: April 15, 2022 by 4:00 pm US Eastern Time
Deadline for Phase 1: May 20, 2022 by 4:00 pm US Eastern Time
Revised Deadline for Phase 1: June 3, 2022 by 4:00 pm US Eastern Time

Subject: The American Schools and Hospitals Abroad (ASHA) Initiative Worldwide Request for Applications for Fiscal Year 2022 (Solicitation No. 720DD122RFA00002)

Program Title: American Schools and Hospitals Abroad Initiative

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 as the ASHA Initiative, part of the Bureau for Development, Democracy, and Innovation's (DDI), Local, Faith and Transformative Partnerships (LFT) Hub. The mission of the American Schools and Hospitals Abroad (ASHA) Initiative is rooted in an early vision of U.S. public diplomacy as codified in the U.S. Information and Educational Exchange Act of 1948 ("Smith-Mundt Act of 1948"). The main objective for ASHA's programming was then and remains "to promote a better understanding of the United States in other countries, and to increase mutual understanding between the people of the United States and the people of other countries" (Sec. 2, Smith-Mundt Act of 1948). Please note that ASHA was created as a public diplomacy program that furthers development outcomes, and that proposed projects should link their activities to public diplomacy outcomes and to U.S. Government (USG) policy goals.

USAID intends to make multiple awards as a result of this Fiscal Year 2022 (FY 2022) 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. USAID reserves the right to merge multiple applications by a single USO into one (1) award if the Applicant successfully competes for more than one (1) FY 2022 ASHA award and if this approach is deemed to be mutually beneficial to all parties. 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.

Please note: RFA requirements change from year-to-year and should be properly addressed in the application. Applicants must provide complete information about their organization for the Selection Committee's (SC) consideration. Do not assume that SC members have any prior knowledge of your organization, work history, or mission. SC members can only utilize the information provided in the proposal and cannot include any external knowledge of country contexts or past accomplishments in their assessment.

Organizations new to USAID[1], as well as those who have previously received awards from USAID, and minority serving[2] institutions (such as Historically Black Colleges and Universities (HBCUs)) are encouraged to apply[3]. Additionally, ASHA has a growing interest in Latin America, particularly with the Northern triangle countries of Guatemala, Honduras, and El Salvador. Applicants in this region 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 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 (UEI) 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,

GW Digital Signature — Digitally signed by GW Digital Signature Date: 2022.05.05 11:50:21 -04'00'

Gordon Weynand
ASHA Partnership Initiative Senior Leader

[1] https://www.usaid.gov/npi
[2] WorkwithUSAID.org
[3] https://www.usaid.gov/work-usaid/how-to-work-with-usaid

Contents

SECTION A: PROGRAM DESCRIPTION

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting awards will be subject to the mandatory standard provisions as well as 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 U.S. 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 sharing American values, ideas, technologies, and practices to increase mutual understanding and promote locally-led development. 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.[4]

ASHA provides assistance to overseas schools, libraries, hospital centers[5], and centers of excellence[6] (see section C.1) 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 awards 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. USAID 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. No less than thirty percent (30%) of the Total Estimated Amount (TEA) allocated to this RFA will be set-aside for Applicants whose work is primarily

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

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

[6] 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.

focused on the Middle East and North Africa (MENA). For purposes of this RFA, MENA includes the following countries and territories: Algeria, Egypt, Iraq, Israel, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank and Gaza, and Yemen. The 30% set-aside funds 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 (2) 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; and

(3) Aligns with cross-cutting Agency priorities of Gender Equity and Inclusion[7]; Science, Technology, Innovation and Partnerships; bolstering self-reliance; Localisation[8]; Diversity, Equity, and Inclusion[9] especially regarding underserved communities; Climate Change; 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.

[7] Please see the White House National Strategy on Gender Equity and Equality. The fact sheet is found here and the full strategy here.
[8] https://www.usaid.gov/local-faith-and-transformative-partnerships/local-works
[9] See Executive Order 13985 and https://www.usaid.gov/who-we-are/diversity-equity-inclusion

2. Authorizing Legislation

ASHA provides assistance to overseas schools, libraries, hospital centers, and centers of excellence founded or sponsored by U.S. citizens as authorized in Section 214 of the Foreign Assistance Act (FAA) of 1961, as amended. ASHA builds bridges of cooperation between the people of foreign nations and the people of the United States by providing funds to schools, hospital centers, centers of excellence, 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.

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 three-hundred (300) institutions globally and aiding in the development of innovative and state-of-the-art schools, hospitals, and libraries in more than eighty (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 one hundred forty-nine (149) 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/DDI/LFT/ASHA intends to provide approximately $27,000,000 in total USAID funding and issue multiple awards as a result of this FY 2022 RFA. Of that amount, no less than thirty percent (30%) of the TEA allocated to this RFA will be set aside for Applicants whose work is primarily focused on MENA. (See Section A.1). 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 for a single OSI will be excluded from consideration for FY 2022 funding.** ASHA generally awards between thirty (30) to forty (40) cooperative agreements and/or grants each year. USAID reserves the right to merge multiple applications by a single USO into one award if the applicant successfully competes for more than one FY 2022 ASHA award and if this approach is deemed to be mutually beneficial to all parties.

2. Start Date and Period of Performance for Federal Awards

Awards are expected to be made in calendar year 2023 (as soon as funds become available). Awards for applications that include only durable commodities will have an initial period of performance of no more than two (2) years from the start date of the award. Awards for applications that include construction or renovation will have an initial period of performance of no more than four (4) years from the start date of the award. If the project has a combination of commodities and construction/renovations, then the initial period of performance will be no more than four (4) years from the start date of the award.

Construction or renovation is defined in Automated Directives System (ADS) 303maw. “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.).

“Durable commodities” is a category of tangible (physical) products with a significant life span that generally lasts three years or longer.

3. Substantial Involvement

Under this RFA, USAID will award both grants and cooperative agreements. A cooperative agreement allows USAID to have substantial involvement in project implementation. “Substantial involvement” is further defined in Automated Directives System (ADS) 303.3.11.

A grant will generally be issued for projects that include only commodity procurement activities, and cooperative agreements for projects that include any construction and/or renovation activities[10]. To complement USAID/ASHA's investment, funding may be leveraged

[10] 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 electrical, dead loads, snow loads, winds, seismic stressors) is considered a construction project, not a commodities project. An example of this would be solar panels being permanently affixed to a building. **If such an application is submitted as a ‘commodities only’ project, it will not be considered for evaluation.**

from other sources to fund either commodities and/or construction/renovations. USAID/ASHA will issue either a grant (commodities) or cooperative agreement (construction) based on the intended use of USAID/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, substantial involvement includes:

1. **Review and approval of the Recipient's Implementation Plan**[11]— The 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 approval 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; and
    - 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 Agreement Officer's Representative (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,

[11] 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.

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 USAID's Automated Directive System (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[12]. This code authorizes 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 USAID 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 MENA. For purposes of this RFA, MENA 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 MENA **will not receive consideration** for set-aside funding under this RFA. To be eligible for the MENA set-aside, Applicants must have **ten (10) or more years of experience** in the MENA region, and have **partnered with the OSI for at least the past ten (10) years**.
- Each application must clearly identify **only one** (1) USO (the applicant) and **only one** (1) OSI partner (the applicant's sub-awardee). An application **cannot** include more than one USO, nor more than one OSI. An application identifying multiple USOs, or

[12] Per ADS 310.3.1.1.3.c - Code 935 applies "For procurements under a grant or cooperative agreement when the total procurement element in the award budget is $250,000 or less."

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 <u>submission of proof is not possible</u>, please provide a separate explanation in the form provided.*

- Each OSI may be included in only one proposal under this RFA. In other words, multiple USOs cannot submit separate applications for 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, each USO must have a continuing and successful supportive formal relationship with its partner OSI that has lasted **at least two (2) 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: the **USO must provide verification of status in SAM on the Cover Page**).[13]

- USOs and OSIs must submit independently audited financial statements performed by an accredited independent audit firm for a recent operating year from 2020 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

[13] Note: Applicants must also provide a valid Unique Entity Identifier (UEI) in the application as stated in Section D.6. "Business (Cost) Application Format," subsection g "Dun and Bradstreet and SAM Requirements."

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 foreign 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[14];
  - For applications involving **"hospital[15] 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 United States, 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.

[14] The Application must focus on secondary education or higher-level activities.
[15] Hospitals also include Medical Centers.

- 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 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 or Matching vs. 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 awards**.

"Leverage" refers to new, non-public resources—whether money, technologies, or expertise—brought by the private sector and other non-traditional USAID partners to a partnership. Because leveraged resources are not cost share, they **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 awards**.

If Applicants choose to include either cost share or leveraged funds, they must ensure that those funds are clearly identified in the Budget tables 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[16]. Proposals that do not receive Mission concurrence will not be eligible for funding. Missions may withhold concurrence based on

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

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.

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.

All awards are subject to USAID's pre-award terms found in ADS 303mba, Pre-Award Terms. See Section G for the complete pre-award terms.

1. Branding Strategy – Assistance
2. Marking Plan – Assistance
3. Conscience Clause Implementation (Assistance)
4. Conflict of Interest Pre-Award Term

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) 712-4169

All questions and inquiries in reference to this solicitation should be directed to the Agency Point of Contact above.

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 Phase 1 Technical Application, Phase 2 Technical Application, 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 Applications 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 must comply with the 12 point Times New Roman requirement. The Monitoring and Evaluation section "Indicator Summary Table" in the 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.

- **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 as the font is already preset.**

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 read this RFA thoroughly to understand the type of program sought, application submission requirements and selection process. **Please note that RFA requirements change year-to-year. Please ensure response to the current requirements, instructions, and templates provided in this solicitation. Do not assume that requirements, instructions, and templates are identical from year-to-year.** Applicants should also ensure that they provide complete information about their organization for the Selection Committee's (SC) consideration. Applicants should not assume that SC members have any prior knowledge of their organization, work history, or mission.

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 in the email address stated above 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".

The Phase 1 Technical Applications must submit one document labeled according to Annex 1. **By invitation only**, the Phase 2 Technical Applications and Business (Cost) Applications must submit documents separately and clearly labeled according to the layout in Annex 5. The Phase 2 Technical Application and the Business (Cost) Application 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 submit the application with sufficient time in advance 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.

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).

The table below outlines the phased approach of the **FY 2022 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

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 MENA 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 Annex 1 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.[17]

(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 funds:** Past Performance Impact Statement (see Section E.2.a), **no more than three (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 funds 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".

[17] Including SAM screenshot of applicant.

(b) Cover Page (3 pages)[18].

(c) Table of Contents (1 page).

(d) Management Approach (up to 6 pages).

(e) Commodities and/or Construction/Renovation Information (6 pages for either, or 9 pages for both[19])
- Durable Commodities Information (if applicable), (up to 6 pages)
- Construction/Renovation Information (if applicable), (up to 6 pages)
- Environmental Capability Statement (use 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 nineteen (19) pages for a project with both Commodities plus Construction/Renovation, or sixteen (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 2022 Application Process table on page 17. 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 in Annex 5.

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:

(a) Business (Cost) Application Cover Page (see Annex 4a for Cover Page requirements) - 1 page.

[18] Including SAM screenshot of applicant.
[19] 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.

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

(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 Commodities plus Construction**
• 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 or leverage) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an 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), and broken out by major budget category and by prime/sub-recipients (separating 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, vendor estimates, 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 plus construction/renovation. The Detailed Budget and Budget Narrative must contain the budget categories and information found below, at a minimum.

- **Construction/Renovation-only** projects require Cost Categories: A, B and/or C and E;
- **Commodity-only** projects require Cost Categories D and E; and
- **Both Commodities plus Construction/Renovation** 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. Applicants can charge ASHA for costs of Public Diplomacy Monitoring and Evaluation (M&E) activities, such as before/after surveys, in support of their Activity Monitoring and Evaluation Plan (AMEP). 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. Applicants may be asked to submit annual institutional audits during the solicitation process and/or during the post-award process; however, ASHA funds may not be used to fund annual institutional audits required by a state or country's laws. 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 funding support.

Budget Breakout

- Subawards – Specify the budget portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for guidance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipients' budgets must align with the same requirements as the Applicant's budget. **This applies to all sub-awardees, including the OSI, which is required to fulfill the same requirements as the USO.** See sample scenarios: https://goo.gl/JpX7AF.

- Funding from other sources: Cost Share is not required. 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 the project 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
- Unique Entity Identifier (UEI)
- 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) UEI and SAM Requirements

USAID cannot make an award to an applicant unless the applicant has complied with all applicable UEI and System for Award Management (SAM) requirements. Each applicant is required to:

1. Provide a valid UEI number for the Applicant and all proposed sub-recipients;
2. Be registered in SAM (www.sam.gov) 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.
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award, 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 on which not to provide an award to that Applicant.

The federal government is changing the unique identifier used for entities from the DUNS Number to the Unique Entity ID (UEI), generated by SAM.gov. On April 4, 2022, the DUNS Number will be removed from U.S. Government systems and the UEI will be the authoritative identifier.

Include your DUNS Number and UEI on application documents until April 4, 2022. Starting on April 4, 2022, you will only use the UEI (SAM).

UEI and SAM registration: http://www.sam.gov

Non-U.S. organizations can find additional resources for requesting a UEI in SAM by using the Quick Start Guide or visiting the Federal Service Desk website and clicking on "Help on UEI Transition."

An active SAM registration and UEI 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** (3) 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 four (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 actions 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 subrecipient 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. 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 activities.

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[20].

Costs for shipping, installation, training, and warranty of the commodity are allowable if they are embedded in the cost of the item. These costs are not allowable if they are charged separately 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 they are 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[21] for a full description of restricted and ineligible commodities.

ASHA will generally not fund other general operating costs or overhead expenses of USOs or OSIs. ASHA funds can be used to support reasonable/proportional costs of USOs and OSIs related to: federally mandated audits; branding/marking materials associated with ASHA awards; and Public Diplomacy Monitoring and Evaluation (M&E) activities, such as before/after surveys in support of their Activity Monitoring and Evaluation Plan (AMEP). 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 (2) 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 the Phase 1, and subsequently, the Phase 2 Technical Applications, based on an adjectival rating system, per ADS 303. Applicant submissions for the 30% set-aside funds will be reviewed independently from the general pool 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--for set-aside Applicants, only--Past Impact) will be evaluated only in Phase 1.

[20] https://www.usaid.gov/ads/policy/300/303maw
[21] https://www.usaid.gov/ads/policy/300/312

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 (2) criteria for the Phase 2 Technical Application; (c) the criteria serve to set the standard against which all applications will be evaluated; (d) there will be no opportunity to revise Phase 1 submissions; (e) in both the Phase 1 and Phase 2 Technical Applications, submissions from "Set-Aside" Applicants will be ranked against other "Set-Aside" Applicants; and f) in Phase 2 of the application process, "Set-Aside" Applicants that are ranked Satisfactory or higher may be ranked against the general pool of Applicants for funding consideration, if the set-aside funds have been exhausted.

Phase 1 Technical Applications:

Phase 1 Technical Applications will be reviewed by an SC with regard to how well they respond to Criterion 1: Public Diplomacy. (See Section 2a. Phase 1 Merit Review Criteria 1 and 1a.) (ME set-aside applicants will be evaluated on Criterion 1: Public Diplomacy and Criterion 1a: Past Project Impact.) Each reviewer will note the strengths and weaknesses of the Applicant's responses to the factors outlined under Criterion 1. Each reviewer will document the strengths and weaknesses of the Applicant's response to meet the factors outlined under this criterion. The SC will then issue a 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. **Please note that the recommendation that a Phase 1 Applicant submit a Phase 2 Technical Application, does not guarantee an award.**

Phase 2 Technical Applications:

Phase 2 Technical Application submissions will be reviewed by an SC with regard to how well they respond to two criteria: (1) Management Approach and (2) Commodities and/or Construction/Renovation Approach. 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 a final, consensus adjectival rating that reflects the overall determination made by the SC. 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 thirty percent (30%) of its FY 2022 funding to Applicants whose work is primarily focused on MENA.

For purposes of this RFA, the MENA 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	Criteria 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 Approach	30% of overall rate
30% Set-Aside Applicants	
Phase 1: Public Diplomacy	25% of overall rate
Phase 1: Past Project Impact Statement	25% of overall rate
Phase 2: Management Approach	20% of overall rate
Phase 2: Commodities and/or Construction/Renovation Approach	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 Criteria 1 and 1a

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

In public diplomacy, there are generally three (3) types of measurable outcomes from any undertaken initiative or activity. The possible outcomes are:

1) an increase in **awareness** about American values, ideas, or practices;
2) a **positive shift in attitudes** regarding American values, ideas, or practices; and/or
3) an **action or set of actions** carried out in response to the introduction of American values, ideas, or practices, either as positive behavior change(s) or a change(s) in the frequency of the positive behavior.

The associated evaluation criteria are summarized in the next section.

The three types of outcomes are neither mutually inclusive nor are they mutually exclusive. In most cases, the outcomes can be complementary.

American values, ideas, or best practices--hereafter "American best practices"--drive inclusive and sustained development and foster a favorable view of the United States abroad. American best practices **do not have to be unique to the United States**; oftentimes they are **shared** by both the target audience and the people of the United States. American best practices may include the following: inclusion, tolerance, diversity, democratic participation, gender equality, meritocracy, technologies, pedagogies, approaches, resilient construction, various risk reductions, sustainable energy, and environmental resilience. This list is non-exhaustive. The American best practices selected by the Applicant must be defined and justified by the Applicant in the Phase 1 application. **The American best practices chosen must be communicated as American by the OSI and understood as American by the target audience;** simply implementing an American best practice is not sufficient. A successful Applicant will communicate how this will be accomplished in their Phase 1 Application.

Additional information on public diplomacy and presenting an effective public diplomacy argument can be found here: http://ow.ly/9jSY50v8t2X.

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

Phase 1 Merit Review Criterion 1 – Public Diplomacy (50% overall weight for general Applicants; 25% weight for MENA set-aside Applicants): Provide a succinct explanation of the context where the proposed project will be implemented and explain how it will contribute to positive public diplomacy outcomes, as evidenced by an increase in awareness, positive shifts in attitude, or changes in behavior regarding American values, ideas, or practices. Clearly explain how the proposed project will contribute to achieving ASHA's legislated objectives. A responsive application will:

1) address how the relationship between the proposed project and the public diplomacy outcomes will: (a) increase awareness, (b) change attitudes, and/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. The Applicant is not required to address all three (3) types of public diplomacy outcomes; however, Applicants must address how, at least, one (1) type of outcome will be accomplished;
2) clearly demonstrate how the American value(s), idea(s), and/or best practice(s) that the Applicant has chosen are **communicated as American** by the partner institution and **understood as American** by the target audience, with the ultimate goal of building bridges of friendship and understanding between the citizenry of the country of award implementation and Americans; simply stating the American values to be addressed is not sufficient;
3) clearly identify the target audience(s) for the public diplomacy interventions, in order to maximize the potential for achieving results against the outcomes;
4) explain what would constitute evidence of the expected type(s) of outcome(s) and how outcomes will be measured; and

5) explain the relationship between the proposed project and the U.S. Government (USG) foreign policy[22] priorities for the country of implementation, or to a broader international USG policy goal (e.g., mitigating the effects of climate change or improving the conditions of underserved communities).

The direct beneficiaries of public diplomacy interventions should include those beyond the walls of the institution that ASHA supports, reaching the larger community.

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 1a – Past Project Impact Statement (25% weight for MENA set-aside Applicants)**: Response to this Merit Review Criterion is required ONLY for Applicants applying for the 30% MENA set-aside funds.** Applicants must submit a Past Project Impact Statement of **up to** three (3) pages.

The 'past project impact' statement is an Applicant's opportunity to address how the partnership with the USO has strengthened the OSI as an institution and positioned it to advance USG public diplomacy objectives. The Applicant should provide information they deem relevant to demonstrate the following:

- Describe how the USO Applicant has fostered (for at least the past 10 years) and continues to foster a strong commitment by the OSI to fundamental American values and how the Applicant tracks its progress in this regard with respect to recognition by local communities and the local public at large.
- Strategic impact of the OSI as tracked through past donor-funded project(s) in at least the last three calendar years (2019, 2020, and 2021), and how these impacts have been recognized by the local communities and local public at large.
- Provide current data for at least the past twelve (12) months of results using impact indicators used by the organization.

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

b) Phase 2 Technical Application Merit Review Criteria

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

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[22] 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

1. **<u>Phase 2 Merit Review Criterion – Management Approach (20% weight)</u>**

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 execution of the commodities/construction & renovation project as well as 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 <u>one</u> (1) brief paragraph ONLY.

(b) **Sustainability and OSI Strengthening**. Describe the OSI strengthening plan and how the proposed project will contribute to the OSI's sustainability. The Applicant 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 <u>must</u> identify at least one (1) relevant indicator for their proposed project (health or education) and <u>must</u> include at least one (1) Gender indicator for the project's Gender integration efforts in addition to the two (2) required ASHA custom indicators.

(d) **Gender integration**[23]: 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. **<u>Phase 2 Merit Review Criterion – Commodity and/or Construction/Renovation Approach (30% weight)</u>**

a. Commodities

For commodity requests, provide the following information:

i. Identify and sufficiently justify specific durable commodities that directly contribute to the goals and objectives of the Project Description.

ii. Describe the Commodities Management approach, including the roles/responsibilities of the management team and the procurement process for the commodities.

[23] Please see the White House National Strategy on Gender Equity and Equality. The fact sheet is found here and the full strategy here.

iii. Provide details regarding the proposed commodities in the "Commodities Justification Table" below. This table must be a summary highlight of the detailed budget showing 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.*

iv. Discuss the Operations & Maintenance for commodities including resources, i.e source of funding and personnel, warranties, and equipment operational training.

b. Construction/Renovation

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

i. Provide a description in one (1) 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. 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. Address how it will incorporate the requirements of the Americans with Disabilities Act (ADA).

iv. Provide 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.

v. 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.

vi. 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.**

vii. 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).

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

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

x. 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 in Attachment MA1 as required in Annex 6.
- Conceptual Project Implementation Plan in Attachment MA2 as required in Annex 6.
- Proof of land use rights and ownership/tenancy of the proposed facility in English in Attachment MA3 as required in Annex 6.
- Construction Manager resumé, separate from the USO/OSI Project Manager, in Attachment MA4 as required 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 Attachment M7, as required 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 2022 Application Process table in Section D5.

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.

Cost share, if proposed, 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. If A&E costs for construction/renovation programs are not included in funds requested from ASHA, then cost share and/or leverage cost should, at a minimum, cover this cost.

4. History of Performance and Risk Assessment

The Agreement Officer (AO) will assess History of Performance 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 performance history 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).

As previously noted, Mission concurrence is required for all awards. USAID will seek Mission concurrence for all Apparently Successful Applicants to ensure the proposed 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, it may request further clarification from Apparently Successful Applicants 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 the Applicant's legal representative to countersign and return to ASHA.

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

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 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 and ADS 303maa "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 "Standard Provisions for Non-U.S. Non-governmental Organizations" apply to all 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
Additional requirements may be applicable to awards involving performance in countries that have issued Mission Orders regarding vetting or that have a partner vetting program. Awards in countries with partner vetting programs in place 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, as well as quarterly Monitoring and Evaluation (M&E) indicator data, Environmental Mitigation and Monitoring Plan (EMMP), and performance narrative reports, indicating progress towards achieving project milestones and timelines for commodities purchased and/or construction/renovation undertaken. (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/DDI/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 (LOC) 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 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 and remain in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.328-330). All reports must be submitted by the due dates specified for approval from the USAID Agreement Officer's 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

Program income, different from profit, is defined as gross income earned by the recipient that is directly generated by an ASHA-supported activity or earned as a result of the Federal award during the period of performance. Program income must be used only for allowable program costs and only to further project objectives, program objectives, or award activities. The AO has determined that any program income generated under an award arising out of this RFA shall use the additive method, wherein the total award amount is increased by the amount of program income (see 2 CFR 200.307 or, for non-U.S. organizations, see the provision "Program Income"). See Section D.6.2.e for details. If the award anticipates a specific program income amount, any program income in excess of such amount must be deducted from expenditures. See Standard Provision RAA30. PROGRAM INCOME for more information.

If the Applicant anticipates program income under the award, it must provide a plan for usage of the program income. If program income is not anticipated, no plan is required.

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 ADS 201mal ("Climate Risk Management for 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: 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 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 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[24], successful Applicants must submit a Recipient Plan, which includes 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 **after** 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.

4. **Project Implementation Plan**
   For projects that include construction, successful Applicants will be required to submit a project implementation plan (see Award for specifications[25]) within sixty (60) days after the award start date for AOR approval. A pre-performance meeting could be

[24] Note Recipient Plan is not needed for projects with both commodities and construction.
[25] A draft version can be found in this RFA Section B.3.1

scheduled with the AOR and Key Personnel within forty-five (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 Activity IEE (A-IEE)is required.

Awards with commodity procurement only:
Successful Applicants for awards involving only commodity procurement are required to review the ASHA Global IEE (https://ecd.usaid.gov/document.php?doc_id=51140 OR http://ow.ly/nkh650C3eex)[26] and submit a Master 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:
New Recipients or existing Recipients with new OSIs or new projects will be required to submit project-specific analyses of potential environmental impact. These Awardees are required to submit an A-IEE including Climate Risk Management (described below) for USAID approval within sixty (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 current 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.

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

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

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 Development, Democracy, and Innovation (DDI), 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. Awardees 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:
   The CRM Screening must be submitted along with the EMMP to the AOR within sixty (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 DDI CIL approves the CRM Screening.

7. **Construction Manager Resumé (if Applicable)**
   If the name of the Construction Manager was not known during the solicitation stage, successful applicants must submit the resumé post award. This must be submitted within thirty (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."

Pre-Award Terms per ADS 303mba

1. Branding Strategy – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

(i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at http://www.usaid.gov/branding, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

(ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.

(iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

(END OF PRE-AWARD TERM)

2. Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://www.usaid.gov/branding. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

3. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

(a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

1) Shall not be required, as a condition of receiving such assistance—

(i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or

(ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

(b) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

(c) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror’s proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

(END OF PRE-AWARD TERM)

4. CONFLICT OF INTEREST PRE-AWARD TERM (August 2018)

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official’s impartiality. The term “conflict of interest” includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PRE-AWARD TERM)