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| **Original NOFO Issuance Date:** | September 13, 2019 |
| **Amendment No. 2 NOFO Issuance Date:** | October 02, 2019 |
| **Deadline for RFA Questions:** | 0000 |
| **Anticipated date of response to Questions:** | 0000 |
| **Deadline for Submitting Applications:** | October 11, 2019; 5:00 p.m. Washington, DC Time |
| **Place of Performance:** | **Uganda** |

**Subject:** Notice of Funding Opportunity (NOFO)
Request for Applications (RFA) Number: 72061719RFA00007

**Program Title:** **USAID/Uganda Social and Behavior Change for Transformation (**SBC4T) **Activity**

**Catalog of Federal Domestic Assistance (CFDA) Number:** 98.001-- USAID Foreign Assistance for Programs Overseas

Ladies/Gentlemen:

The United States Agency for International Development (USAID) Mission to Uganda (USAID/Uganda) is seeking applications from qualified entities for the USAID/Uganda Social and Behavior Change for Transformation (SBC4T) Activity funding opportunity.

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in other Sections of this NOFO.

Subject to the availability of funds, USAID intends to provide up to $35 million, to be allocated over the five-year period. USAID reserves the right to fund any or none of the applications submitted.

USAID intends to make an award to the Applicant who best meets the objectives of this funding opportunity based on the merit review criteria described in this notice of funding opportunity (NOFO) and subject to a risk assessment and responsibility determinations in accordance with ADS. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the Activity development objectives, application submission requirements and selection process.

To be eligible for award, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on https://www.grants.gov, and may be amended. This NOFO and any future amendment can be downloaded from https://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse Agencies," and select the "Agency for International Development" and search for the NOFO. It is the responsibility of the Applicants to regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download a PDF program such as Adobe in order to view and save the forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been downloaded in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the

NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Any questions regarding this NOFO must be submitted in writing to KampalaUSAIDSolicita@usaid.gov to the attention of Mr. Admir Serifovic, Agreement Officer and Ms. Mercy Lapolo, Acquisition and Assistance Specialist. Questions sent to any other email address will not be answered. The e-mail transmitting the questions must reference the NOFO number and title on the subject line of the email. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted on https://www.grants.gov.

If you decide to submit an application, please note that electronic submission is required. Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov, to the attention of Ms. Mercy Lapolo, Acquisition and Assistance Specialist. Late applications will not be considered for award. Hard copy, telegraphic, or fax applications (entire proposal) are not authorized for this NOFO and will not be accepted.

An applicant under consideration for an award that has never received funding from USAID may be subject to a pre-award survey to determine financial responsibility, capacity, and ensure adequacy of financial controls. Applicants are encouraged to register with the Data Universal Numbering System (DUNS) and System for Award Management at https://www.sam.gov/portal/public/SAM/ as these are mandatory requirements before any award can be made. In the event that the submission deadline is due before registration is complete, applicants should proceed with the submission of their applications. **IMPORTANT NOTE: USAID may not award a Cooperative Agreement to an Applicant unless the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.** The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

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. All preparation and submission costs are at the applicant's expense. All preparation and submission costs are at the applicant's expense. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Thank you for your interest in USAID/Uganda Social and Behavior Change for Transformation (SBC4T) Activity.

Sincerely,

Admir Serifovic
Agreement Officer
USAID/Uganda

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# Section A. PROGRAM DESCRIPTION

## A. INTRODUCTION

Under the 2016 - 2021 Country Development Cooperation Strategy (CDCS), USAID/Uganda seeks to make a five-year, approximately $35 million award to achieve the result of improved adoption of priority behaviors at the individual, household, and community levels. This Activity will primarily align with CDCS Development Objective (DO) 3 ("Key Systems More Accountable and Responsive to Uganda's Development Needs Improved") and will contribute indirectly to DO 1 ("Community and Household Resilience in Select Areas and Target Populations Increased") and DO2 ("Demographic Drivers Affected to Contribute to Long Term Trend Shift").

The Activity will accomplish this result through four intermediate results:

1. Internal, social and structural factors that affect the adoption of healthy behaviors identified and used to inform social behavior change (SBC) interventions;
2. Implementation of evidence-based SBC interventions scaled up to cause change at population level;
3. SBC capacity strengthened and institutionalized; and
4. Information management systems enhanced to increase accountability and inform decision-making.

USAID anticipates that the Activity will mainly engage at national and regional level with the Ministry of Health (MOH) and across other sectors as applicable. Engagement beyond the health sector is critical considering that factors hindering health behavior outcomes are multi-sectoral. At the district level the Activity is not expected to directly implement activities except in exceptional circumstances, but rather support, collaborate and coordinate with United States Government (USG) partners supporting service delivery to scale up SBC interventions. The USG partners include USG PEPFAR (USAID, Department of Defense (DOD), Center for Disease Control (CDC), and the PEPFAR Coordination Office partners), the U.S. President's Malaria Initiative (PMI), Global Health, Global Health Security Agenda (GHSA), and Feed the Future (FtF) and Food for Peace implementing partners.

USAID defines SBC as the use of any approaches, activities, or interventions that address internal, social, or structural determinants (a factor which decisively affects the nature or outcome) that can affect adoption of positive behaviors that influence health or development outcomes. While the majority of USAID-supported SBC continues to rely primarily upon communication-based approaches combining mass media, social media, community-level programming, and/or interpersonal social and behavior change communication (SBCC), achieving expected programmatic results requires increased incorporation of broader SBC approaches informed by alternate approaches such as behavioral economics and design thinking. Regardless of what approaches are used, high-quality SBC interventions will be designed and should be grounded in behavioral theory; informed by research and evidence-based programmatic experience; and implemented following a systematic and proven process (Processes found in Resource Link 1). Quality SBC interventions will need to be scaled up to support service delivery activities at individual, facility, household, and community levels. Attention to social norms and dynamics, appropriate audience segmentation, and audience participation and interaction must also be prioritized. Government of Uganda (GOU), implementing partners and other relevant stakeholders' capacity to adequately and systematically plan, manage and coordinate quality SBC activities and the systems through which they operate will continue to be enhanced.

## B. Background

### B. 1. Health Situation

Despite Uganda's considerable gains in several health indicators, the 2016 Uganda demographic health survey (DHS) findings still raise concerns**.** Uganda's burden of disease is dominated by communicable diseases, which account for over 50 percent of morbidity and mortality. Malaria, HIV/AIDS, Tuberculosis (TB) and similar compromising respiratory conditions, diarrheal ailments, and other epidemic-prone and vaccine-preventable diseases are the leading causes of illness and death. Uganda has a high HIV sero-prevalence (6.2 percent of adults 15 – 49 years old) and an estimated 1.4 million adults and 96,000 children living with HIV (UNAIDs 2016, Resource Link 2).Malaria still remains the underlying cause in nearly 60 percent of infant deaths.

Between 2011 and 2016, child mortality decreased from 90 to 64 per 1,000 live births, and infant mortality decreased less substantially from 54 to 43 per 1,000 live births (2016 Uganda DHS, Resource Link 3). Maternal mortality declined 16 percent, from 438 to 368 per 100,000 live births, prevalence of stunting declined from 33 percent to 29 percent, and 53 percent of children aged 6-59 months are anemic. Among those with access, two-thirds of children under age five slept under an insecticide treated mosquito net or lived in a dwelling covered by Indoor Residual Spray (IRS) the night prior to the survey. Uganda continues to face significant demographic pressures compromising the health system's capacity to respond adequately to the country's health needs. The current total fertility rate is estimated at 5.4 births per woman (2016 Uganda DHS, Resource Link 3); more than one-third of Uganda's current population (The Uganda Bureau of Statistics reported a total population of 34.6 million people in 2014, Resource Link 4) is under the age of nine. One in four girls experience pregnancy during their teenage years; this is fueled by early and intergenerational marriages. Not only is the interaction between the health system and youth paramount, there remains the need to address harmful practices preventing girls from reaching their full potential.

Most Ugandans live within a reasonable distance (5km) of a health facility, delays in accessing services and information continue to be among the main determinants of poor health outcomes, including other barriers such as cultural/gender norms, poor quality services, dysfunctional facilities, and weak referral systems. Other determinants such as gender dynamics and social and cultural norms affect the structure and functionality of the health system. Health care is disproportionately viewed as the responsibility of women. Women interact with the health system to address their own needs and also as caretakers, on behalf of dependent children and others. Conversely, men are less likely to engage with the health system for themselves or others due to prevailing socio-cultural definitions of masculinity (USAID Gender Equity and Female Empowerment Policy, Resource Link 8).

### B.2. Multi-sectoral Determinants

In improving health and development outcomes multi-sectoral SBC is critical. It is essential to also address determinants of health largely beyond health. USAID/Uganda understands that transformational change will require increasing household and community resilience, while addressing key drivers of vulnerability and enhancing prevention and treatment of diseases (CDCS DO1) and addressing demographic drivers, including adoption of healthy reproductive behaviors and girls' education (CDCS DO2). Health is an essential element that shapes, and is shaped by vulnerability. Health expenditures and the opportunity cost associated with illness contribute to households backsliding into poverty, greatly impacting their resilience. The health system must perform to assist households and communities to adopt behaviors, prevent, and mitigate the impact of potential shocks to their health and productivity.

The link between the health system and education as critical determinants of health and development is compelling. Surveys show that girls and women with higher levels of education have increased knowledge about testing for HIV, have higher rates of health facility deliveries, lower unmet needs for family planning, and lower teenage pregnancy rates (2016 Uganda DHS, Resource Link 3) Educating women and youth in the informal sector about their rights showed increased awareness about voting and also increased participation at community planning meetings (UNDP, A Final Evaluation for the Project Promoting Civic and Political Participation of Youth and Women in the Informal sector: final report, 2013, Resource Link 5).

### B.3. Social and Behavior Change Landscape

SBC is uniquely positioned to support attainment of key health goals e.g. family planning, malaria, nutrition, maternal child health, infectious disease, TB and HIV through sustained change and transformation of population level health behaviors. Significant recent changes in behavioral programming has transformed the SBC landscape and dramatically introduced new ways of thinking about and describing behavioral programming. The impact seen in individual behavior through attention to structural and environmental factors of SBC approaches beyond just SBCC is evident.

USAID/Uganda has a history of supporting some aspects of SBC interventions; however investments have been characterized by a heavy focus on communication-based activities. From 2007 to 2012, the Health Communication Partnership (HCP) implemented programs to change individual behavior, mobilize communities, and create an enabling environment for sound health practices. AFFORD program worked with communities and private sector networks to increase the demand for and sale and use of critical health products and services, such as injectable, pills, condoms and insecticide-treated bed nets. USAID’s Communication for Healthy Communities (CHC) activity (2013-2018) was designed to build on, strengthen, and sustain the results from previous USAID-supported SBCC activities. CHC developed and used the “Obulamu” life stage concept, an innovative approach to standardize and revitalize SBCC in Uganda, to reposition health in the context of day-to-day life premised on the Life Cycle/Life Stage integrated approach.

The MOH has a draft comprehensive health sector strategy for health promotion/ SBCC (2017-2021) hinged on the Socio-Ecological Model (SEM), a theory-based framework for understanding the multi-dimensional and interactive effects of personal and environmental determinants that influence behaviors. It aligns to the health sector and investment plan 2015-2020, outlines SBCC goals across thematic areas and strategies for integration with renewed focus on increased accountability and transparency. USAID/Uganda will use such platforms to address gaps and advance beyond SBCC to support effective health and development programming.

## C. Activity Description

Approximately 75 percent of the disease burden related to HIV, malaria, TB, and maternal/child health outcomes is preventable through low-cost, high-impact SBC interventions critical for adoption of health behaviors. Uganda’s health system needs to build the capacity to assist households and communities to adopt priority health behaviors to prevent and mitigate the impact of potential shocks on their health and productivity. Internal, structural, and social determinants at different levels impact health outcomes and may prevent or support the practice of a health behavior. To improve adoption of priority behaviors at individual, household, and community levels, this activity will work with the GOU, partners and stakeholders to design, implement and scale up SBC interventions that ultimately impact health and development outcomes.

The Activity will accomplish this result through four intermediate results:

1. Internal, social and structural factors that affect the adoption of healthy behaviors identified and used to inform SBC interventions;
2. Implementation of evidence-based SBC interventions scaled up to cause change at the population level;
3. SBC capacity strengthened and institutionalized; and
4. Information management systems enhanced to increase accountability and inform decision-making.

The SBC4T Activity is based on the development hypothesis that if we strengthen and institutionalize SBC to address internal, social and structural determinants that hinder adoption of health behaviors, then individuals, households and communities will adopt improved health behaviors contributing to improved health and development outcomes. It is expected that the Activity will monitor, track and explore the validity of this hypothesis throughout implementation and together with USAID make relevant and timely changes as deemed appropriate.

### C.1. Alignment with the CDCS

USAID/Uganda's CDCS is designed to achieve the five-year goal of "Uganda's systems are accelerating inclusive education, health and economic development." While it predates USAID's current emphasis on advancing countries' Journeys to Self-Reliance (J2SR), the CDCS's focus on strengthening Uganda's systems is driven by a longer-term goal presciently consistent with J2SR: Ugandan-led inclusive and sustainable development.

The CDCS is rooted in a programmatically-integrated approach that recognizes and seeks to address the interrelated causes of development challenges. It has three Development Objectives (DOs):

DO1: Community and household resilience in select areas and target populations increased

DO2: Demographic drivers affected to contribute to long-term trend shift

DO3: Key systems more accountable and responsive to Uganda's development needs.

While this Activity will primarily aligns with the CDCS results framework for DO3, it will contribute to the attainment of several intermediate and sub-intermediate results in the DO1 and DO2 results frameworks (USAID Uganda CDCS Strategy 2016-2021, Resource Link 6) and deliver results against the following:

- IR 1.1, Key drivers of vulnerability as identified by beneficiaries addressed
- IR 1.3, Enhanced Prevention and Treatment of HIV, Malaria and Other Epidemics among the Most Vulnerable
- IR 2.1, Adoption of reproductive health behaviors increased
- IR 2.2, Child Wellbeing Improved
- IR 3.1, Leadership in Development Supported
- IR 3.3, Key elements of systems strengthened
- IR 3.4, The Enabling Environment that supports functional systems improved

The programmatic integration inherent in the CDCS calls for USAID/Uganda's Implementing Partners (IP) to achieve a high level of cross-IP coordination. IPs engaged in delivering health sector results will have several challenges in undertaking this coordination: (i) the size and complexity of USAID/Uganda's health portfolio means that health sector IPs are likely to have multiple points of cross-IP linkage; (ii) the whole-of-government approach that the USG takes to the health sector, especially with regard to HIV/AIDS, requires tight collaboration with CDC, Department of Defense and other USG agencies engaged in the health sector; (iii) high levels of other donor support contributing to Uganda's health sector and USAID/Uganda's commitment to promoting strong donor coordination; and (iv) the matrix-like manner in which the health portfolio is structured which means that the degree of success that one activity can deliver sometimes relies on input from another activity and at times extending beyond the health portfolio.

~~The health portfolio structure is described in the bullets below. Checkmarks indicate the level of cross-IP coordination USAID/Uganda anticipates between the activity described and this activity. One checkmark indicates minimal coordination; three checkmarks represent maximum coordination, at times reaching the level of collaboration.~~

## D. Description of Intended Results

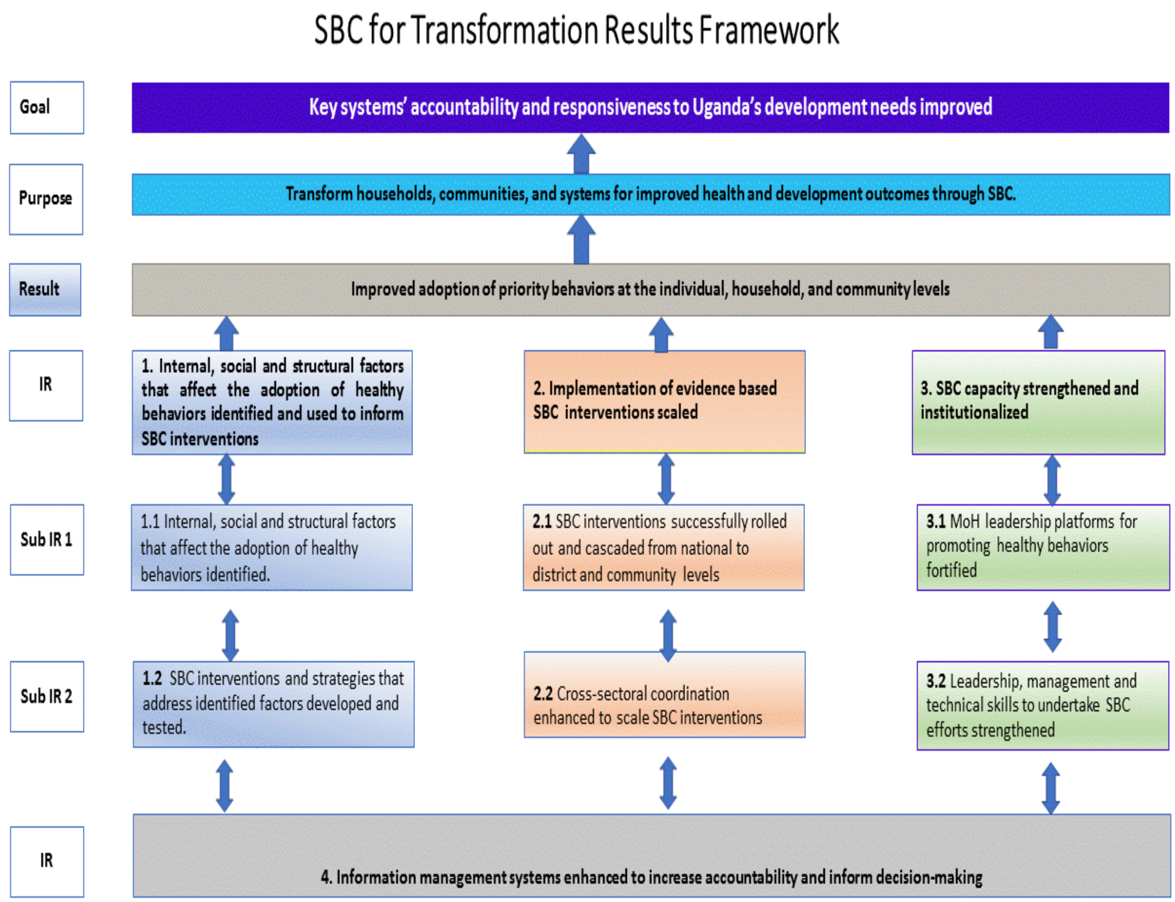
Increasing appropriate utilization of health services requires expanding provision and quality of services from service providers while simultaneously stimulating or maintaining demand from clients. This Activity would support, partner, collaborate and/or coordinate with GoU, development partners, stakeholders and USG service delivery partners to strengthen health and development outcomes through the application of SBC approaches. To facilitate adoption of priority behaviors at individual, household and community levels, identification of factors affecting adoption of behaviors, implementation and scale-up of proven SBC interventions, strengthening and institutionalization of SBC capacity and enhanced information management are important.

This Activity operation at the national/regional level requires maintaining a substantive focus on SBC approaches to improve adoption of priority behaviors affecting family planning and reproductive health, HIV/AIDS, malaria, nutrition, and maternal, neonatal, child health and water, sanitation and hygiene (WASH), emerging pandemic threats and other infectious diseases. This includes implementing SBC approaches addressing internal, structural and social factors vital to create a positive shift in health priority/accelerator health behaviors. In health, these priority/accelerator behaviors include those poised to offer the greatest impact on health outcomes. (Behavior Integration Guidance, Resource Link 7) In addition to increasing adoption of priority health behaviors, the Activity is expected to contribute to change in "gateway behaviors" that offer potential to impact outcomes in one or more health areas.

The Activity is expected to contribute to the achievement of these health outcomes:

- Reduction in maternal and child mortality.
- Improved nutritional status.
- Reduction in malaria prevalence.
- Reduction of total fertility rate.
- Reduction in new HIV infections.
- Reduction in TB prevalence.
- Prevention, detection and response to heath threats (e.g. infectious disease, Ebola)

**Figure 1: Expected results**




**1. IR 1: Internal, social and structural factors that affect the adoption of healthy behaviors identified and used to inform SBC interventions**

As indicated previously, this activity is premised on the lesson learned that, in most situations, communication interventions alone are not enough to affect widespread behavior change. Instead, the most successful behavior change strategies employ comprehensive approaches that consider and address the range of factors that could either constrain or facilitate behavior change. Illustratively, a communications strategy alone may have been effective in creating demand for reproductive health services but not created "effective" demand (i.e., demand that can be acted upon) because the underlying structural, social factors at individual, household and community level have not been addressed. In many cases, multi-tiered analyses will determine that a cross-sectoral approach that includes but reaches beyond the health sector is most likely to effectively motivate behavior change.

Informed by an innovative, evidence-based theory of change, models and design approaches, the Activity will identify and develop evidence-based strategies to address internal, social and structural behavioral determinants to influence health behavioral outcomes.

**The two sub-intermediate results under IR 1 are:**

- SIR 1.1: Internal, social and structural factors that affect the adoption of healthy behaviors identified.
- SIR 1.2: SBC interventions and strategies that address identified factors developed and tested.

**Illustrative Activities:**

- Evidence-based interventions and strategies that reflect the comprehensive, multi-tiered, and, as appropriate, cross-sectorally-integrated approaches that enhance the prospects for successful, broad-based behavior change impact are developed, tested and adopted.
- Identify evidence-based community approaches that address individual, social and structural factors influence the adoption of healthy behaviors.

**2. IR 2: Implementation of evidence-based SBC interventions scaled**

The strategic shift from an SBCC approach to SBC requires a concerted effort to orchestrate activities and scale up interventions at national and district level. Rolling out and scaling up evidence-based SBC interventions and strategies developed under IR1 will require the development and implementation of action plans that: (i) define respective roles and responsibilities at the national, district and community levels; and (ii) guide the development and rollout of the training, tools and other inputs that SBC4T will support to allow each institutional actor to meet its obligations under the respective plans.

Result-based coordination and collaboration among USG supported national and district based partners is essential for successful scale up and implementation of identified approaches. USAID/Uganda supports a host of Implementing Partners (IP) able to collaborate with the Recipient to provide Ugandan counterparts the assistance they need in developing and implementing behavior change plans. USAID/Uganda's intentions are that: (i) the Recipient will primarily support national level efforts while IPs engaged at the subnational level, across PEPFAR (e.g. Regional Health Integration to Enhance Services (RHITES), PMI, GHSA, Food for Peace, and FtF (e.g. Integrated Agriculture and Nutrition (ICAN)), will support district and community-level efforts; and that (ii) the Recipient will draw on the expertise and relationships of IPs supporting various sub-sectors (such as HIV/AIDS, malaria, maternal/child health, nutrition and family planning) to help inform the plans and promote the intra-health sector and cross-sectoral GOU cooperation that will underpin successful rollout and scale up. In exceptional circumstances and with approval from USAID, the Recipient may be required to do direct district level implementation.

**The two sub-intermediate results under IR 2 are:**

- SIR 2.1: SBC interventions successfully rolled out and cascaded from national to district and community levels;
- SIR 2.2: Cross-sectoral coordination enhanced to scale SBC interventions.

**Illustrative Activities:**

- Vertically (national-district-community) and horizontally (cross-sectoral) integrated action plans to guide the rollout and scale up of SBC strategies and interventions are developed through participatory processes that engage Ugandan stakeholders and relevant USAID/Uganda IPs.
- Guidance, training, tools and other inputs required to implement the respective action plans are

tested, rolled out and scaled up.
- Collaboration platforms are established and technical assistance/training provided to USAID/Uganda IPs to facilitate an integrated, cohesive package of USAID/Uganda assistance in supporting the development and implementation of respective action plans.
- Joint planning undertaken and participation of other donors with shared interests in promoting healthy behaviors.

### 3. IR 3: SBC capacity strengthened and institutionalized

The GOU through its vision 2040 seeks to shift to a new paradigm with renewed focus to empower households and communities to take greater care of their health by promoting healthy practices using a robust community health strategy. Strengthening systems for SBC is critical in order to align country policies, strategies, and plans to high quality standards and ensure coordination of SBC implementation. Leadership, accountability and governance remain weak with the capacity for planning, accountability and management within the sectors at national and regional levels suboptimal.

The Department for Health Education and Health Promotion (D/HEHP) within the MOH leads Uganda's efforts to promote healthy behaviors. Responsibility for promoting behavior change at the district level rests with Health Promotion Officers. Intra-MOH coordination takes place under the auspices of the MOH's Technical Working Group (TWG) for Behavior Change. With limited budgets and overstretched staff, behavior change efforts are under-resourced at all levels of government. The TWG is among the MOH's least active working group. Donors currently fill many of the gaps. Sustainable progress is dependent upon strengthening ownership and capacity to reduce reliance on external partners.

**The two sub-intermediate results under IR 3 are:**
- SIR 3.1: MOH leadership platforms for promoting healthy behaviors fortified
- SIR 3.2: Leadership, management and technical skills to undertake SBC efforts strengthened

**Illustrative Activities:**
- Systems and other institutional capacity required for D/HEHP to better lead and manage MOH efforts in conducting and/or overseeing the development, testing and implementation of SBC strategies and action plans are strengthened.
- Systems and other institutional capacity required to: (i) better facilitate and coordinate the vertical and inter/cross-sectoral linkages, collaboration and partnerships required for successful, comprehensive SBC efforts;
- Recognition of and support for SBC as an essential element of health sector programming are strengthened; and monitor SBC results, quality products and activities increased.
- Developing and promoting tools and approaches that improve coordination and integration of SBC interventions implemented by a range of service delivery, health and development partners
- Research, planning, marketing, management and leadership skills of public, private and PNFP sectors actors supporting behavior change for improved health outcomes are strengthened.

**IR4: Information management systems enhanced to increase accountability and inform decision-making**

There is limited capacity to capture, analyze and apply the data required to track the progress or measure the impact of behavior change interventions; to facilitate decision-making on the optimal deployment of resources; or to inform the iterative learning that underpins adaptive management. Planners and decision-makers are largely left to extrapolate information from DHIS2, a health information system meant to facilitate analyses of different levels of service provision, predict service needs, and assess performance in meeting health service targets. SBC4T will promote the development and use of information management systems.

USAID is committed to building the evidence base for social and behavior change programming. Across IR 1, 2 and 3, there is a need to incorporate rapid, robust, real-time data, and programmatically useful evidence to track progress and facilitate course-correcting over the life of the Activity. This Activity will therefore develop and implement a robust learning agenda with quick feedback loops and incorporate innovative approaches to monitoring, evaluation, and learning.

**Illustrative Activities:**

- Monitoring, evaluation and learning (MEL) plans are developed for behavior change interventions and strategies, and their respective companion action plans; and are regularly reviewed by GOU counterparts for decision-making and adaptive management, informing action plan implementation as well as future research and strategy development.
- Innovative ideas are developed and employed to create a platform(s) for capturing, storing, sharing, analyzing and using behavior change knowledge.
- Developing quality assurance/continuous quality improvement tools and approaches to be used by host-country governments and implementing partners

**E. Activity Monitoring, Evaluation and Learning Plan (AMELP)**

USAID is committed to building the evidence base for programming. Activities across the IRs will incorporate rapid, robust, and programmatically useful formative research, monitoring, and evaluation strategies to track progress, outcome, and impact. This includes the development of tools to gather real-time data and facilitate course-correcting over the life of the Activity. This Activity, in close consultation with USAID, will develop and implement a robust learning agenda with quick feedback loops (e.g., through developing a plan to generate and disseminate knowledge to strengthen implementation).

This Activity will incorporate innovative approaches to monitoring, evaluation, and learning, and results may be captured by methods which may include, but are not limited to:

- Qualitative research methods;
- Use of facility-level data and service statistics;
- Quantitative methods, such as surveys or use of mobile technology for monitoring;
- Data visualization techniques to improve data use; and
- Implementation science approaches.

The Activity will work in close collaboration with other USAID-supported programs across different sectors to implement interventions to transform social norms and improve access to and quality of Social Behavior services. These interventions will be brought to scale by various IPs at national and regional levels which will be monitored and evaluated by this Activity.

The Applicant will submit a draft Activity Monitoring, Evaluation and Learning Plan (AMELP) with the application. The AMELP will describe the MEL approach for ensuring effective implementation and achievement of desired results. Learning will be used to make mid-course adjustments to the choice of interventions and/or how they are implemented. At a minimum, the draft AMELP will identify appropriate Activity indicators for each level of the results framework/log frame, show data sources and describe how data will be collected, collated, and/or acquired to regularly inform performance. The proposed plan will provide preliminary five-year performance indicator targets, which will be reviewed and possibly revised during pre-implementation discussions. Where applicable, include disaggregation elements like sex, age groups and geography.

A section of the AMELP will be dedicated to show how the awardee will implement USAID's Collaborating, Learning, and Adapting (CLA) concept, described in more detail below, including the development and implementation of a learning agenda. Implementation science, which may include operations research and impact evaluation, will be used to assess the effectiveness of proposed approaches in achieving desired outcomes, to adapt approaches to improve efficiency and effectiveness, and to document the contribution of each approach to health outcomes. The proposed AMELP will include indicators and targets for measuring quality improvement processes and outcome.

Upon award, the USAID/Uganda Agreement Officer Representative (AOR) and the Health Office Strategic Information Unit will provide guidance for the detailed AMELP to ensure that indicators are aligned with the Mission's Country Development and Cooperation Strategy (CDCS), the strategic objectives and intermediate results, and show a concrete plan to comply with Mission reporting needs and requirements under PEPFAR, PMI, GHI, FtF, and other funding authorities. The successful Applicant will also consult with the Mission's M&E contractors: Strategic Information Technical Support (SITES) and The Learning Contract (TLC), other relevant USAID and USG IPs, and MOH M&E Technical Working Groups in developing the final AMELP. The successful Applicant will be expected to obtain AOR's approval of final AMELP within 90 days of award.

The successful Applicant must develop a robust data collection system, which includes adequate data quality controls and complies with all USAID/Uganda data quality requirements, ADS 203.3.5.1. Each indicator in the final AMELP will have a performance indicator reference sheet that provides detailed description of the indicator, numerator and denominator values and a data collection plan. Where appropriate, AMELP baselines should draw on AIS, UDHS, MIS, LQAS, and HMIS results as well as other studies and surveys.

The AMELP shall specify approximate dates for data collection, the method, type, and source of information to be collected, and shall report on these indicators in line with existing and future USG guidance. USAID/Uganda plans to conduct multiple evaluations of individual interventions/approaches, target populations or implementation environment at different times, as we as a comprehensive external evaluation of the Activity during the fourth year of implementation. This Activity should plan for funding to prepare for and participate in the evaluations.

## F. Implementation Approach

The Activity will be operated at national level (above-site) to implement SBC interventions including providing technical assistance to institutions and through working with regional/districts partners bring interventions to scale. SBC4T will implement SBC interventions below in section F.1. Geographic focus.

### F.1. Geographic Focus

USAID envisions that this Activity will provide national level (above site) support, while working with the districts through collaboration and coordination with the implementing partners at regional level. As an Activity implemented mainly at national level, SBC4T will develop, test, and disseminate tools, approaches and intervention packages in the areas of SBC. USAID requires services that will provide capacity strengthening and technical assistance for SBC interventions at the national level (as an above site activity). In bringing SBC interventions to scale at the regional and district level partnerships and working with USG PEPFAR, PMI, Health, GFSS implementing partners e.g. RHITES, ICAN, local government, civil society and other stakeholders is critical.

### F.2. Journey to Self-Reliance

This Activity will work to strengthen national and regional level SBC institutions to drive SBC especially at community and household levels. This will also include continuous engagement at national and regional levels to build local capacity and institutionalize systems to manage SBC activities through technical and organizational capacity levels crucial for sustainability. This will be accomplished by activities which emphasize: (i) institutional capacity building at national and sub-national levels; (ii) use of existing structures and tools; (iii) expanded community involvement for greater accountability; (iv) improve systems for SBC planning across sectors and development partners.

### F.3. Sub-grants

This Activity is expected to provide up to two-million United States Dollars (USD) ($2,000,000) in sub-grants over the life of this Activity. USAID/Uganda is expected that the sub-grants program will be started in year 2 through 5 of the Activity. The sub-grants may include performance-based or any other innovative approaches to giving grants that mitigates fraud, promotes accountability and improved efficiency and effectiveness. The Recipient will establish in conjunction with USAID, measures to mitigate the potential risks of mismanagement and misappropriation of the grant funds to the GOU including but not limited to due diligence assessments, utilization of existing GOU accountability systems, and adhering to USAID regulations of financial management. Additionally, within 3 business days not including holidays, of receipt of any allegation of fraud or discovery of fraud, whichever occurs first, the Recipient must e-mail the Agreement Officer information regarding (1) how the allegation was received/fraud was discovered (2) description of the fraudulent action and (3) the total estimated cost of the fraud and (4) steps the Recipient is taking to ensure the fraud does not occur again.

Targeted sub-grants to selected government institutions, community based organizations, non-state actors including the private sector firms that support the objectives of this Activity. Selection of sub-grantees will be done in consultation with USAID to ensure compliance with USAID requirements for approval of sub-grants to government and non-government entities in accordance with ADS 303.3.21, and may require additional documentation and approvals.

The following are additional details regarding the grants program:

- Since the sub-grant program will be expected to start in Year 2 of the Activity, the Recipient must submit a request for the Agreement Officer Approval for the proposed sub-grants, 30 calendar days prior, detailing the process for identifying, evaluating, vetting, award, and monitoring sub-grant activities. USAID retains the ability to terminate the grants activities unilaterally in extraordinary circumstances.
- Construction activities are not allowed under sub-grants.
- All sub-grants must be completed six months prior to the end of the Activity.

**F.4. Governance**

Governance is an important element in SBC activities. SBC4T will need to engage national and local leadership as these are equal partners that invite mutual demonstration of trust and transparency.

Partnerships: The Activity will need to show evidence of collaboration, coordination and strengthening of national and regional systems that support sustainability. It is expected that the Recipient will discuss roles, responsibilities, and expectations with national and local governments, provide quarterly work plans and reports of activities to key partners, participate in key technical and planning forums and provide other relevant information. It is critical that functional partnerships management and relationship with stakeholders while promoting convergence, leveraging for resources and identification of share opportunities with government and other donors is demonstrated.

The Activity will predominantly work with the health sector entities in Ministry of Health and other key organizations within the health and SBC system. The Activity is also expected to work with other sectors critical to achieve these objectives to address social determinants and build SBC systems. This is especially important considering that the determinants for health outcomes are broad, and at the same time the activity will engage with service delivery partners that are implementing multi sectoral programs e.g. ICAN and the Karamoja Food for Peace activities. This will include working with the community development department of the Ministries of Gender and Local government, Ministry of Agriculture and animal industries and interface with civil society organizations, religious leaders / institutions, national parliamentary committees, Office of the Prime Minister, and public and private sector leaders as part of strategic partnership to name a few.

**F.5. Gender Considerations**

Gender equality and female empowerment are crucial to the achievement of positive health outcomes. Complex social, cultural, and economic determinants impair both men and women's full participation and choices in health care. Because of gender inequities, women are often married off early, unable to negotiate for safer sex, condom use, or family planning, access financial resources, or seek services when needed. For men, public health initiatives have often sidelined their needs for participation and empowerment, albeit in different ways than for women. Gender norms often mean that men don't often seek health services when they need them, act as gatekeepers around the use of health services, although they often lack knowledge about or access to health, be it HIV/AIDS, family planning and reproductive or child health, and infectious disease. Gender is also a useful lens in multi-sectoral programming, as gender norms and women's empowerment can mediate the ability of both women and men to engage in and benefit from other sector interventions, including when these interventions are integrated with health. A thorough understanding of gender-related dynamics, especially as they pertain to service uptake and household decision-making, resource allocation, and financial authority, will be critical to this mechanism designing appropriate gender focused interventions.

Applicants should also describe how internal management structures, systems, and personnel processes will ensure that sufficient attention is paid to gender issues. Special emphasis should be given not only to the quantitative aspects of gender (percent of employees who are women, attendance at events, and participation in training and testing of material) but also to addressing underlying issues that might affect participation and access by men, boys, women and girls to the different services of the program.

### F.6. Youth and Other Vulnerable Groups

Uganda has a large and growing population of persons under the age of 15 years; with over 78% of the population below the age of 30, Uganda has the world's youngest population. Young people are crucial to the improved health and nutrition status of Ugandans. High fertility rates, young age at first gestation, and risk for HIV and other sexually transmitted infections indicates (STIs) a need for a strong focus on girls. The total fertility rate (TFR) has remained high in Uganda with on average 6.2 children per women in Uganda, especially among the poorest quintile leading to high dependency and compromised economic opportunity that could entrench families in poverty for generations. Nonetheless, key boy-centric issues must also be considered in programming. Young people must be supported to improve their communication and negotiation skills and address and change gender norms; advocates must strengthen legal and advocacy resources; and health care professionals must be trained to improve clinical services for young people, including those who are victims of violence. Youth involvement will be vital to the success of the Activity. This Activity will look for opportunities for designing and delivering innovative mechanisms to ensure that youth involvement are adequately addressed and incorporated during planning and implementation. The Activity should address the needs of adolescent girls targeting not only the girls, but their family and community, about how to prevent both HIV and unintended pregnancy and access to family planning and maternal and neonatal child health (FP/MNCH) services. The Applicant will have to suggest approaches and strategies to reach out to this key audience, where evidence shows that there is a gap.

This youthful structure and high dependency rate is one of the major barriers to social transformation and development in Uganda. The Recipient will include meaningful and measurable youth involvement in designing, planning, implementation, and monitoring of relevant health systems strengthening interventions at both national and regional levels.

### F.7. Capacity Building

Building on current and past investments, and in alignment with USAID/Uganda CDCS, SBC4T will emphasize capacity building of the GOU, community-based structures, private sector, and institutions. SBC4T will play a facilitative, rather than directive role, reinforcing the necessary technical and managerial capacity of government and relevant institutions to better manage systems. This means, for example, that the programs will emphasize "learning by doing" and coaching approaches to capacity building rather than merely classroom training. Instead of introducing new partner-designed tools, programs will be expected to work with local actors to develop or adapt local capacity, tools, and approaches to improve health and development outcomes through improved health service delivery and management. Capacity built at each level must be explicitly defined, measurable and able to be evaluated.

The Recipient will build the capacity of these organizations to ensure that they effectively deliver services in a sustainable manner. The Recipient will develop and submit to USAID/Uganda a capacity building plan that will ensure that capacity building is directed toward the needs of the organization and is linked to performance standards.

The Applicants must submit a draft of the Capacity Building Plan at the application submission.

The Recipient will implement a model on key service delivery aspects using local nongovernmental or community-based organizations. Support from the Recipient to the local organizations will include grants that focus on service delivery and technical assistance to strengthen the ability for organizational sustainability of the local organizations. The Recipient will articulate the local capacity development approach under this award and implement it.

### F.8. Relationship to Other USAID Activities and Development Partners

USAID is one of several development partners supporting Social Behavior Changes in Uganda, including DFID, UNFPA and SIDA, among other bilateral, multilateral and private donors. SBC4T will complement these other investments to avoid duplication of effort and provide well-coordinated support to GoU towards achieving its national health and development goals.

In addition, USAID/Uganda is committed to a high level of coordination across its IPs, and this coordination is reflected across USAID/Uganda's DO2 and health portfolio. Several of the activities indicated are in still in the planning stages. Others are under implementation but may end soon after the SCB4T award is made. Thus the list below should be considered illustrative. While the set of health portfolio activities will evolve over the life of this activity, the organizational structure by which the portfolio is managed is likely to continue. This activity is also expected to collaborate and associate with partners beyond the health portfolio and include activities in economic growth (under FTF and vulnerable populations) and education.

- The health portfolio balances a set of activities at the community and service delivery level with a set of "above-site" activities. The above-site activities are generally focused on strengthening national level competencies in supporting communities and service delivery. More specifically above-site activities will support the GoU in ensuring the effectiveness of policies and guidelines; translating national priorities to subnational levels; and facilitating feedback loops between national and subnational actors. SBC4T is an above-site activity and will benefit from collaboration and partnership with the following district and community-focused activities with a view toward helping to strengthen the national-to-local vertical linkages essential to improving the performance of health delivery systems.

- Regional Health Integration to Enhance Services (RHITES): USAID/Uganda supports distinct RHITES activities in five regions of Uganda. RHITES activities are comprehensive approaches to helping increase access to and utilization of quality health services at the district level. As part of their support, RHITES' five IPs are charged with supporting health service delivery at district and community level.

SBC4T will also benefit from linkages from other above-site, health sub-sector activities:

- Voluntary Family Planning for Improved Reproductive Health and Development (FP4HD): The Family Planning activity, similar to MCHN, will be strengthening the linkages between national and subnational actors in promoting family planning and strengthening selected key capacities at the national level.

- Malaria Action Program for Districts (MAP/D): MAP/D reinforces Ugandan efforts to reduce the incidence of malaria. It supports improved prevention, diagnosis and treatment of the disease that continues to kill the most Ugandans annually.

- Uganda Sanitation for Health: This activity provides national-level and, to a lesser degree, subnational support to improve water, sanitation, and hygiene interventions at the community and household levels, leading to increased household access to sanitation and water services; improved hygiene behaviors at home, school, and health facilities; and strengthened district water and sanitation governance for sustainable services.

- Maternal Child Health and Nutrition (MCHN): MCHN will provide support to strengthen the performance of government-led strategies to improve maternal/child health and nutrition outcomes through improved service delivery and reinforcing Capacity for MCHN increased good governance.

The activity will benefit from plugging into the “systems” activities that address health service delivery. Advantages can be realized by: (i) facilitating constructive relationships between the MoH and the “systems-strengthening” IPs and (ii) when appropriate, proactively identifying and supporting opportunities in which cross-IP collaboration strengthens the performance of the SBC sub-sector.

- Health Systems Strengthening: This activity supports improvements in a number of systems that could have an impact on MCHN sub-sector performance. It seeks to (i) improve leadership and accountability at the national , subnational and community levels in public and private sector health systems; (ii) strengthen systems for budget preparation, management and execution; human and financial management and domestic resource mobilization; and (iii) strengthen community systems, including increasing the capacity of health workers at the community level.

- Strategic Information Technical Support (SITES): SITES is a monitoring and evaluation platform to manage health information and promote better decision-making. It supports data monitoring and assessment, collection, analysis and reporting; baseline, performance and program assessments; assistance with the data collection, analysis, reporting, and target-setting requirements and the management and implementation of service quality improvement tools.

Activities in other USAID offices contribute to and/or reinforce intended health sector results.

- Economic Growth Office:
    - ❑ Integrated Community Agriculture and Nutrition (ICAN): ICAN promotes a multi-

sectoral approach to strengthening resilience in selected communities in three sub-regions—Kigezi, Acholi, and Karamoja. Among its MCHN-related interventions are interventions to address nutrition, livelihood and governance.

- ❑ APOLOU: This activity promotes inclusive and effective governance that can contribute to food and nutrition security, with a focus on making sure that adolescent girls, pregnant and lactating women and children under five are nutritionally secure.

- ❑ NYOKU: This activity works to build resilience to shocks, enhance livelihoods, and improve food and nutrition security for vulnerable rural families in Abim, Nakapiripirit and Napak districts. Nutrition, agricultural and livelihoods activities are complemented by a focus on gender, youth, conflict sensitivity and social accountability. In this way the activity aims to develop all pathways for sustained food security and optimal nutrition.

- Integrated Child and Youth Development Office: Integrated Child and Youth Development Activity: This activity is designed to help ensure that children and youth, especially the most vulnerable, receive the support and services necessary to lead resilient, healthy, and productive lives. It will promote improved learning outcomes, safe and healthy community and learning environments, and positive behaviors.

- Democracy and Governance Office: Civil Society Strengthening: This activity will strengthen the capacity of civil society and media to constructively engage government and promote government accountability.

- CDC and Department of Defense PEPFAR partners: SBC4T activity will partner with other USG PEPFAR activities implemented through CDC and Department of Defense implementing partners that support distinct HIV activities in other regions of Uganda to increase access to and utilization of quality HIV health services at the district and community level.

**F.9. Environmental Considerations**

The Foreign Assistance Act of 1961, as amended, Section 117 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 codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.3.11.2.b and 204, which require, in part, that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The SBC4T environmental compliance obligations under these regulations and procedures are specified in the following paragraphs.

1a) In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1b) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.

2) All USAID funded activities must comply with 22 CFR 216. Pursuant to this, the Social Behavioral Change Communication for Transformation (SBC4T) Activity is covered by an Initial Environmental Examination (IEE) file name: Uganda Health Systems Strengthening_ Project_IEE_082318 approved in 08/23/2018. USAID has recommended a Categorical Exclusion Threshold Determination for this activity. These activities will have no adverse effects on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

3a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer’s Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3b) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

3c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

4) Cost and technical applications must reflect environmental documentation preparation costs and approaches where applicable. This may include costs towards the preparation of an environmental mitigation and monitoring plan (EMMP) during the post award stage. The recipient will be expected to comply with all conditions specified in the approved IEE.

5) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the Request for Application should therefore include as part of their application their approach to achieving environmental compliance and management, to include:

5a) The respondent’s approach to developing and implementing an EMMP.

5b) The respondent’s approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.

5c) The respondent’s illustrative budget for implementing the environmental compliance activities/EMMP. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

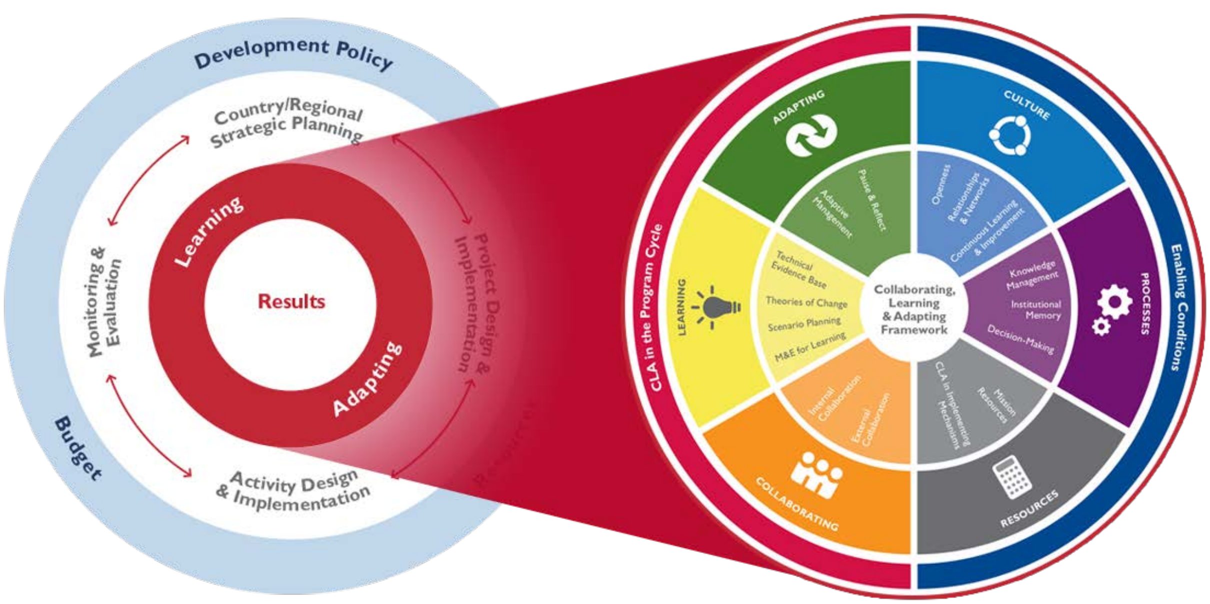
6) A provision for sub-grants is included under this solicitation requiring the recipient to use the

Environmental Review Form (ERF) or Environmental Review (ER) checklist to screen grant applicants to ensure that the funded proposals will result in no adverse environmental impact, to develop necessary mitigation measures and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant applicants to be funded is not known well enough to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed by the recipient and approved by USAID. The recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented and addressed in annual reports. Guidance on the ERF and ER checklist process is available at [http://www.encapafrica.org/meoEntry.htm](http://www.encapafrica.org/meoEntry.htm)

7) SBC4T will be responsible for periodic reporting to the AOR, as specified in the Schedule/Program Description of this solicitation.

### F.10. Ability to Learn and Adapt Program Approaches

Development work presents many opportunities to collaborate and engage with a broad set of stakeholders, to learn from both evidence and experience and to adapt iteratively to unexpected results or changes in context. This is why USAID places “Collaborating, Learning and Adapting” at the center of its Program Cycle, both as a connector between and an integral part of the components.




### Collaborating

Collaboration enables cross-sector integration, convergence, and effective interventions to maximize development resources and enhance development results. The Recipient shall collaborate with USAID-supported activities in common regions of operation and engage with stakeholders (defined collaboratively with USAID AOR) to deliver integrated services to target populations.

**Learning**

Learning is intentional, systematic and resourced. Sources for learning include data from monitoring, portfolio reviews, findings of research, evaluations, analyses conducted by USAID or third parties, knowledge gained from experience, stock taking exercises, and other sources. Those documents produced by USAID will be shared with the Recipient by the AOR for consideration in the learning phase of CLA. These sources shall be used to develop and implement plans, manage adaptively, and contribute to the USAID/Uganda knowledge base in order to improve development outcomes. A collaborating, learning, and adapting focus helps to ensure that programming is coordinated, grounded in evidence, and adjusted as necessary to remain relevant and effective throughout implementation.

Knowledge generated by learning should be applied throughout programming to implementation approaches, processes, and stakeholder engagement. Knowledge generated by learning should also be disseminated to activity stakeholders, partners, and collaborators in an appropriate forum and format so that it may be translated into decisions and actions that enhance the success of approaches and interventions designed to achieve common intermediate results.

The Recipient shall share information and knowledge generated by monitoring data, portfolio review results, research findings, evaluations, analyses, and experiences with USAID implementing partners. Recipients shall apply actionable information and knowledge gained from collaborating partners to implementation to improve results.

USAID implementing partners shall convene on a periodic basis to reflect on actions taken, exchange analysis, and pending decisions that affect implementation.

**Adapting**

The Recipient shall demonstrate adaptability that is informed by knowledge gained through learning, and recognize behaviors and incentives necessary to create change. Knowledge gained through learning shall influence decision making, resource allocation, and adaptation to contextual shifts. Application of new knowledge to implementation decisions should be reflected in the Annual Work Plan and AMELP. Decisions to adapt may be based on, but not limited to the following:

- Extraneous changes in the operating environment (i.e. emergency or natural disaster; national policy changes)
- Financial and human resource constraints
- Evidence that targets are unmet
- Emerging evidence that interventions are not working or could work better if adapted

Any changes to the scope of the Agreement must be approved by the Cognizant Agreement Officer in a modification to the Agreement.

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## Section B. FEDERAL AWARD INFORMATION

### 1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide $35 million in total USAID funding for the award. USAID reserves the right to fund any one or none of the applications submitted.

### 2. Start Date and Period of Performance for Federal Award

The entire period of performance is anticipated to be five (5) years from the effective date of the award. The estimated start date is o/a March 2020.

### 3. Award Type and Substantial Involvement

USAID anticipates the award shall be a Cooperative Agreement. Consistent with ADS 303.3.11 to ensure the achievement of the program objectives, USAID/Uganda will be substantially involved in the implementation of the SBC4T Activity. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the program is to assist the recipient in achieving the supported results and objectives. USAID/Uganda will provide technical knowledge and guidance to the awardee on programmatic implementation and promote sharing and learning of successes and challenges among the USAID partners implementing this activity.

***Elements of Substantial Involvement:***

a. **Approval of the Recipient's Annual Implementation Plans:**

USAID/Uganda will approve annual implementation plans, including but not limited to, annual work plans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, event planning/management, international meeting preparation.

However, if at the time of award, the program description does not establish a timeline in sufficient detail for the planned achievement of milestones or outputs, USAID may delay approval of the recipient's implementation plan for a later date. USAID must not require approval of implementation plans more often than annually.

USAID shall require the approval of implementation plans annually to ensure alignment with stated goals, milestones and outputs. The implementation plan communicates how and when the recipient will complete project activities and is drafted annually to describe a set of activities planned to be completed during that year. The AOR's review will ensure that the implementation plans fit within the scope, terms and conditions of the agreement.

b. **Approval of Specified Key Personnel**:

USAID may designate as key personnel only those positions that are essential to the successful implementation of the recipient's program. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

The SBC4T Activity anticipates experts and specialists in a range of SBC technical areas as outlined in the Program Description. Applicants are requested to propose key personnel and a comprehensive staffing plan depicting a balance of skills critical to support this Activity's objectives and results.

All key personnel must demonstrate strong project and personnel management skills; innovation and flexibility in technical practice and/or management; the ability to collaborate effectively with a wide range of stakeholders and strong communication skills. Individually and collectively, proposed key personnel must show evidence of strong skills for building collaborative relationships with donors, host country governments, and local and international health and development implementers. Accordingly, if the prime Applicant proposes to include partners and organizations in its application, partners' staff should be assigned roles and positions that match the prime Applicant's vision of the partners' intended contributions for the achievement of the Activity's purpose.

In accordance with the Substantial Involvement clause of this award, the following key personnel are subject to the approval of the Agreement Officer under this Cooperative Agreement:

i. Chief of Party;
ii. Deputy Chief of Party,
iii. Senior Technical Advisor SBC;
iv. Director of Financial Management; and
v. Senior Monitoring, Evaluation and Learning Advisor.

**A. Chief of Party (COP): 100% Time**

The Chief of Party (COP) will have primary responsibility for liaising with USAID and other stakeholders in Uganda including the Ministry of Health and development partners. The COP will have overall responsibility for coordination of project activities and staff. She/he will oversee program implementation, providing the strategic direction, technical vision and approach and managing the project team and consortium members and will possess in depth applied experience in SBC programming. She/he will ensure the project complies with award terms and conditions, USAID policies and regulations, and systems are in place to mitigate risk of fraud, waste and abuse. She/he will have principal responsibility for representation of the project to USAID, and will cultivate open and collaborative partnerships with critical Implanting Partners.

**Required qualifications**:

- Minimum of 15 years of experience in international health programming, including social sciences, public health or a related field. Preference will be given to those with considerable working experience managing complex SBC projects.

**Desired qualifications:**

- A Master's degree in a relevant field or Bachelor's degree in public health, communication, with a minimum of fifteen (15) years' experience above.
- Demonstrated knowledge of the latest developments in advancing good/best practices in social behavior change.
- Proven record of leadership in design and management of SBC programs and experience leading projects across a range of intervention types and/or health areas;

**The COP must have the following skills:**

- Demonstrated leadership skills in working collaboratively and effectively engaging with other donors, host country institutions, and international organizations;
- Demonstrated experience in senior-level management position and experience leading large and complex SBC focused projects.
- Demonstrated capacity in managing for results;
- Demonstrated experience successfully managing a high-paced, multi-disciplinary team to achieve
- development results;
- Excellent negotiation skills with demonstrated capacity for negotiating with senior government officials or executives;
- Working knowledge of and/or experience with USG-funded program management, policies, regulations, and procedures is desirable;
- Proven record of leadership in design and management of SBC programs and experience leading projects across a range of intervention types and/or health areas;
- Required oral and written fluency in English; and
- Excellent past performance references.

**B. Deputy Chief of Party: 100% Time**

The Deputy Chief of Party shall provide support to implement the overall strategic leadership and including play a vital role in supporting the COP for oversight to the project. S/he shall have depth and breadth of technical expertise and experience, a solid professional reputation, interpersonal skills and professional relationships to fulfill the requirements of the activity. In supporting the COP in rolling out the mission of this Activity, experience interacting with host country government agencies including local governments, development partners, the private sector, and civil society organizations to address SBC systemic is essential.

**Required qualifications**:

- Minimum of 10 years of experience in managing and providing technical support and capacity building to large complex international projects with significant SBC components. Preference will be given to those with considerable working experience in social behavior change.

**Desired qualifications:**

- A Master's degree in a relevant field or Bachelor's degree in a relevant field with a minimum of 5 years' experience to the ten experience above.
- Demonstrated knowledge of the latest developments in advancing good/best practices in social behavior change.

- Demonstrated experience in social sciences, public health and senior-level management position and experience leading large and complex SBC focused projects.

**The DCOP must have the following skills:**
- Demonstrated leadership skills in working collaboratively and effectively engaging with other donors, host country institutions, and international organizations;
- Demonstrated capacity in managing for results;
- A senior technical expert in at least one of these technical areas (FP/RH; HIV/AIDS, MCH, Malaria, Nutrition), gender and youth; with sufficient understanding of all these areas to direct integrated, collaboration and coordination efforts;
- Working knowledge of and/or experience with USG-funded program management, policies, regulations, and procedures is desirable;
- High level of interpersonal, technical, and analytical skills including a demonstrated ability to interact effectively and collaboratively with a broad range of public and private sector counterparts and other key stakeholders;
- Proven record of leadership in the management of SBC programs and experience leading projects across a range of intervention types and/or health areas;
- Excellent organizational, analytical and oral and written communication skills in English;
- Excellent skills and experience in collaborative working relationships with senior level government leadership; and
- Excellent past performance references.

**C. Director Financial Management: 100% Time**

The Director of Financial Management will oversee finance for all Activity offices in Uganda. This individual will be responsible for managing the budget and preparing financial reports for submission to USAID. She/he will ensure funds expended are compliant with USG regulations and policies. She/he will implement fraud mitigation practices and ensure systems and processes are implemented effectively to support implementation of the award.

**Required qualifications**:
- Minimum of 10 years in accounting, business administration, or a related field. Preference will be given professional to those with membership of ACCA, CPA (U) and CMA.

**Desired qualifications:**
- A Master's degree in a relevant field with 10 years of experience in financial management of large activities, extensive professional experience in finance, procurement, and contract management for international development activities of similar scope and size of the SBC4T Activity; with a minimum of 5 years of senior level responsibility for managing administration and finance aspects of USG funded projects programs.

**The Director of Financial Management must have the following skills:**
- Demonstrated supervisory experience with excellent interpersonal, written and oral communication, leadership and managerial skills;
- Familiarity with USG financial reporting and compliance requirements. In depth knowledge and practical understanding of USG administrative, management and reporting of procedures and

systems; experience overseeing finance and administration for a USG funded award is highly desirable;

- Experience in managing donor-funded procurements and subcontracts/grants of similar scope and size of the SBC4T Activity; and
- Experience in increasing roles of responsibility and oversight of procurement, logistics, finance, and accounting of large-scale, complex, international programs, including experience in managing donor funded subcontracts/grants.
- Required oral and written fluency in English; and
- Excellent past performance references.

**D. Senior Technical Advisor SBC: 100% Time**

The Technical ~~Director~~ Advisor will oversee the Activity's technical activities and staff. S/he will directly assist the COP in the design, implementation and monitoring of SBC interventions while ensuring they are in accordance with the quality requirements of the Activity, The responsibility extends to promoting learning within the project and with other USAID partners working in Uganda and rolling out the SBC packages.

**Required qualifications**:

- A minimum of ten (10) years of professional experience in delivering Social Behavior Change and ten (10) years of progressively increasing responsibility working for health technical assistance programs or other health related services.

**Desired qualifications:**

- A Master's degree in Medicine, Social Sciences, Public Health, Communications or other relevant degree or a Bachelor's degree in a relevant field with a minimum of fifteen (15) years of professional experience in delivering SBC and professional experience working in mid to senior management positions.

**The Senior Technical Advisor must have the following skills:**

- Demonstrated leadership qualities, depth and breadth of management expertise and technical experience;
- Excellent communication and negotiation skills;
- Experience in successfully engaging the private sector;
- Must have demonstrated leadership qualities, depth and breadth of management expertise and experience;
- High level of interpersonal, technical, and analytical skills including a demonstrated ability to interact effectively and collaboratively with a broad range of public and private sector counterparts and other key stakeholders;
- Excellent skills and experience in collaborative working relationships with senior level government leadership;
- Experience with integration of gender and youth analysis into health projects and services;
- Required oral and written fluency in English; and
- Excellent past performance references.

**E. Senior Monitoring, Evaluation and Learning Advisor: 100% Time**

The ~~Research,~~ Senior Monitoring, Evaluation and Learning (~~R~~MEL) Advisor will oversee all research, monitoring, evaluation, learning, and quality assurance/continuous quality improvement activities/ components of this Activity. The Advisor will be responsible for ensuring effective bi-directional communication and learning between the project and service delivery implementing partners. This will include leading the research agendas, coordination, collaboration and integration through development of knowledge management systems, work process and fostering a culture of collaboration. She/he will manage the research program for this Activity, coordinate the development and implementation of the Activity Monitoring, Evaluation and Learning Plan (AMELP) and corresponding M&E systems and avail and promote the use of information to guide performance management through well analyzed, rapid and timely feedback. The AMELP will include appropriate indicators, baseline data, results and a plan to monitor and evaluate performance, produce timely, accurate and complete reporting and support the collaboration, learning and adapting in this Activity. She/he will support other USAID service delivery implementing partners in developing, training and applying new and proven approaches to MEL in SBC.

**Required qualifications:**

- A minimum of ten (10) years of experience working in M&E for large health programs.

**Desired qualifications:**

- Master's degree in Public Health, epidemiology, biostatistics research methods, or any behavioral science with relevance to SBC research, monitoring and evaluation or Bachelor's degree in a relevant field with a minimum of fifteen (15) years' experience above.

**The MEL Advisor must have the following skills:**

- Experience with research, monitoring and evaluation of health programs demonstrating progressively increasing level of responsibility;
- Proven experience developing and tracking performance indicators to measure success in health especially in SBC;
- Qualitative and quantitative analytic skills coupled with proven ability in using visuals like graphs, charts, maps, and GIS;
- Demonstrated experience in successfully guiding and monitoring the use of data, analysis, evaluation, and research findings to program actions with some experience in SBC programs;
- Demonstrated ability to guide quality assurance/continuous quality improvement in development;
- Excellent ability to articulate oral and written technical information clearly and effectively to both technical and non-technical audiences.
- Required oral and written fluency in English; and
- Excellent past performance references.

The key personnel specified above are considered to be essential for successful achievement of goals and results under this cooperative agreement. Prior to replacing any of the specified individuals, the Recipient must immediately notify both the USAID/Uganda Agreement Officer and Agreement Officer's Representative with reasonable advance notice and submit a request for approval for the new personnel including a written justification in sufficient detail to permit evaluation of the impact on the Activity and the proposed substitutions' resume. No replacement of key personnel will be made by the Recipient without the written approval of the Agreement Officer.

**NOTE:** USAID reserves the right to determine relevance of education and experience.

c. **Agency and Recipient Collaboration or Joint Participation:**

USAID has determined that the Recipient's successful accomplishment of the program objectives would benefit from USAID's technical knowledge, and has authorized the joint participation of USAID and the Recipient in the following ways:

(1) **Collaborative involvement in selection of advisory committee members**:

If the Activity establishes an advisory committee that provides advice to the recipient, USAID will participate in selection of such advisory committee members and participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) **Concurrence on the substantive provisions of sub-awards**:

The recipient must obtain AO's prior approval for the sub-award, transfer, or contracting out of any work under an award in accordance with 2 CFR 200.308. The term 'sub-awards' includes both sub-agreements and contracts under assistance. Please note that any sub-awards (sub-agreements or contracts) to foreign governmental organizations or parastatals of any amount must be approved by the AO, and may warrant additional clearances in accordance with ADS 303.3.21.b & c.

(3) **Approval of recipient's monitoring and evaluation plans:**

USAID's involvement in monitoring progress toward the achievement of program objectives during the performance, including written guidelines for the content of annual reports and final evaluations through AOR's approval of AMELP.

During the initial activity planning period, the awardee will work closely with USAID to establish major milestones, program monitoring indicators, as well as baseline data and performance targets which will demonstrate successful achievement of the results addressed in the Program Description.

(4) **Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects:**

All such activities must be included in the program description, negotiated in the budget, and made a part of the award. The AOR will provide review of the proposed change, and the AO is the only individual who can provide approval for this element of substantial involvement.

(5) **Communication with GOU Officials.**

The AOR shall be present in important meetings with government level officials. Communication with GOU officials must be coordinated in advance with the USAID AOR. Exceptions may be granted but must be in writing and made prior to any meeting/communication.

d. **Agency Authority to Immediately Halt a Construction Activity**

Construction is not eligible for reimbursement under this award.

e. **Title to Property**

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of 2 CFR 200.310 through CRF 200.316 regarding use, accountability and disposition of such property.

f. **Authorized Geographic Code**

The geographic code authorized for purchasing the services and commodities for this activity is 937 and must meet the source and nationality requirement set forth in 22 CFR 228.

g. **Purpose of the Award**

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 Social and Behavior Change for Transformation (SBC4T) Activity 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. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

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## Section C. ELIGIBILITY INFORMATION

### 1. Eligible Applicants

Eligibility for this NOFO is not restricted. In response to this NFO, any U.S. or non-U.S. organization, non-profit, or for-profit entity is eligible to apply. Organizations may submit applications individually or in partnership with other international or local organizations.

USAID/Uganda encourages applications from organizations that have not previously received financial assistance from USAID.

To be eligible for award of a Cooperative Agreement, in addition to other conditions of this NOFO, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO). The AO may determine that a pre-award survey might be necessary to assist in establishing the responsibility of the Recipient to receive U.S. Government funding.

### 2. Cost Sharing or Matching

Over the life of the project, in addition to USAID funds, applicants are expected to contribute from their own and other sources. To be eligible for award under the proposed Cooperative Agreement, USAID has established a cost share of 5% of the projected award amount for the recipient of the award. However, if at the end of the award the partner is not able to meet the cost share due to extending circumstances including but not limited to the full amount of the award or other challenges, the Agreement Officer will take this into consideration. Applications that do not meet the minimum cost share requirement are not eligible for award consideration.

Cost share can be either cash and/or in-kind. Cost share may be mobilized from the Recipient; other multilateral, bilateral, and foundation donors; host governments; and local counterpart organizations, NGOs, communities and private businesses and other donors (no other USG funding sources) that contribute financially and in-kind to implementation of activities at the country level.

The cost-share, and the feasibility of the cost-sharing plan, should be discussed in the budget narratives to the extent necessary to realistically assess these sources and funds. Applicants should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Assistance award. Applications that do not meet the minimum cost-share requirement are not eligible for award consideration.

NOTE: The 5% cost share will be in addition to the total estimated budget of $35 million for this NOFO.

3. **Limitations on number of applications**

The number of applications an applicant may submit under this NOFO is limited to **ONE** and USAID/Uganda will not consider any application in excess of this limitation.

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## Section D. APPLICATION AND SUBMISSION INFORMATION

### 1) Point of Contact

**Name:** Mr. Admir Serifovic, Agreement Officer / Ms. Mercy Lapolo, A&A Specialist
**Address:** USAID/Uganda US Embassy Compound, Ggaba Road Kampala, Uganda
**Email:** KampalaUSAIDSolicita@usaid.gov

2) **Deadline for NOFO Questions:** September 20, 2019; 5:00 p.m. Washington, DC Time

**Anticipated date of response to Questions:** September 27, 2019

**Email:** KampalaUSAIDSolicita@usaid.gov

### 3) Content and Format of Application Submission

a) General

**NOTE:** Electronic Submission of Applications via E-mail is required compatible with MS WORD, MS Excel (or PDF with Optical Character Recognition) and MS Excel for budgets as text accessible.
There has been a problem with the receipt of *.zip files due to the anti-virus software. APPLICANTS MUST NOT SUBMIT ZIPPED FILES.

**Hard copies of the applications will not be accepted.** Applications that do not follow the instructions contained herein run the risk of not being considered in the review process.

Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. Please see subsections c.1 and c.2, below, for information on the content specific to the Technical and Business (Cost) Applications. The Technical Application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name;
- Notice of Funding Opportunity number;
- Date of Application;
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303).
- DUNS and Unique Entity Identifier number for primary applicant;
- System for Award Management (SAM) registration status.

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.

Applicants may choose to submit a cover letter in addition to the cover pages, but 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. Email submissions must include the following in the subject line:

**"Technical application under xxxxxx (no. of RFA), submitted by: [name of Applicant organization]. Email 1 of xx."**

**"Cost application under xxxxxx (no. of RFA), submitted by: [name of Applicant organization]. Email 1
of xx."**

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of 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 which says: "[organization name], Cost Application, Part 1 of 2". All emails must also contain the NOFO number in the subject line.

USAID's preference is that the technical application and the cost application be submitted as a single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, applications may be submitted via email with up to 10 attachments (4MB limit) per email.

Failure to comply with NOFO requirements will result in application to be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

b) **Format of Applications**

Applications must comply with the following format:

- 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.
- The Application must be written in English.
- 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, charts, text boxes and personnel matrix. Tables however, must comply with the 12 point Times New Roman requirement.
- The Application must be submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B.2 of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF OCR format as appropriate.
- The Cost application must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant's discretion, however, the official cost application submission is the unlocked Excel version.

c) **Preparation of Applications - Technical & Cost**

All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No addition or modifications will be accepted after the submission date.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

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 purposes, should mark the title page with the following legend:

*"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Application as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert sheet numbers] and, mark each sheet of data it wished to restrict with the following legend:*

*"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."*

**1) Technical Application**

The technical application will be most important factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application must be specific, complete and presented concisely. The application should 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 evaluation criteria found in this NOFO.

The Technical Application is limited to a maximum of 25 pages, and includes Technical Approach, Management Structure, and Key Personnel – excluding annexes.

The Technical Application shall include the following sections:

**i. Cover Sheet (not to exceed 1 page and is not part of the 25 page limitation for the Technical Application).**

**ii. Table of contents (not to exceed 1 page and is not part of the 25 page limitation for the Technical Application).**

**iii. Executive Summary (not to exceed 2 pages and is not part of the 25 page limitation for the technical application).**

**iv. Technical Approach (not to exceed 25 pages)**

Applicants must demonstrate an in-depth understanding of the health and development challenges in Uganda, outline specific activities and explain how the proposed activities would help achieve the SBC4T Activity objectives stated in Section A. A description of how the applicant will implement an effective SBC program to increase the practice of priority health behaviors and the enabling social norms for improved health and development outcomes with attention to the intermediate results and technical considerations as described in section A of this NOFO must be articulated.

The approach for developing and socializing technical agendas for programming and investments in SBC must demonstrate an understanding of key stakeholders at all levels and factors influencing their engagement and effectiveness. The proposed approach(es) reflect a clear understanding of challenges to SBC and technical agenda-setting for SBC programming and investment, and offers actionable solutions for identifying and prioritizing SBC activities. The proposed approaches for socializing shared priorities for learning and programming are feasible given project timeline, funding, and location and preferences of key stakeholders. Applicants are encouraged to propose innovative and realistic context specific approaches, scale up new technologies and approaches as appropriate, and articulate methods by which new approaches will be analyzed and adapted as needed throughout implementation. The technical approach must demonstrate practical approaches for introduction of, adaptive management, continuous quality improvement and management, community and private sector engagement.

**v. Management Structure (not to exceed 5 pages)**

Overall project management approach, including systems for technical, financial, administrative, and contractual oversight is clearly described, feasible, and consistent with the applicant's proposed technical approach and organizational chart. Applicants must describe how the proposed plan will contribute towards achieving the objectives and results described in the Activity description; capturing the following:

- Describe how Financial management plans for assurance of timely and accurate management, reporting, and disbursement of multiple funding streams are provided.
- If the Applicants present as a consortium/partnership of organizations or groups, the applications must describe the proposed consortium model and clearly demonstrate the expertise of the participating partners and the unique set of experience and expertise they bring to strengthen the activities undertaken. The plan must also clearly delineate the roles, responsibilities and lines of communication, authority between all consortium members, while specifying mechanisms through which collaboration and knowledge sharing will occur among teams will occur.
- Describe how the proposed personnel and team structure support capacity building of local consortium/sub partners in such a way that local partners will progressively, incrementally and sustainably strengthened to have increased role over the Activity implementation period.
- Applicants must describe the grants management plan including the process of identifying, vetting and supporting grantees and how the Applicants will ensure that each partnering organization contributes to the overall strategy.

Among other things, USAID/Uganda expects the Applicants to address the following issues:

- How will the Applicants mobilize in terms of personnel, logistics set-up, and establishment of management and financial control systems?
- Proposed approach reflects proven practices to support cost containment, avoid duplication, and minimize institutional risk.
- USAID/Uganda expects the Activity to be managed locally, with management decisions, including financial decisions, and administrative responsibilities delegated to the implementation team office. The Recipient's home office is expected to provide managerial oversight and administrative backstop, and technical assistance as needed.
- Delineation of roles, responsibilities, authority, and processes for decision making within Applicants' implementation team and between the Recipient/home office and the implementation team must be clearly spelled out.

**vi. Key Personnel (not to exceed 3 pages)**

Key personnel are those individuals whose performance is critical to the success of the SBC4T Activity. Qualifications and skills required for the Key Personnel are stated in Section B of this NOFO. USAID/Uganda has determined that these four (5) positions are:

- Chief of Party (COP)
- Deputy Chief of Party (DCOP)
- Director of Financial Management and Operations
- Senior Technical Advisor
- Senior Monitoring, Evaluation & Learning (MEL) Advisor

Applicants must describe how the proposed key personnel will contribute towards achieving the objectives and results described in the Activity description. This should clearly explain how the technical expertise, education and experience of all key personnel members contribute to achieving expected results; the role and estimated amount of time each key personnel member will devote to the Activity and/or specific components within the Activity.

**vii. Annexes**

The following ~~four~~ six annexes must be submitted; any pages exceeding the limits for each annex will not be considered.

**Annex 1. Resumes of Key Personnel & Letters of Commitment (not to exceed 3 pages per resume & 1 page per letter of commitment) and a summary matrix of skills for all personnel proposed not to exceed 3 pages.**

This section will include a summary matrix of skills for all personnel anticipated contributing to this activity including the 5 key personnel. Applicants must provide resumes for each proposed key personnel to demonstrate how each individual is the best fit for the position. Key Personnel Resumes will not exceed three pages in length and will be in chronological order starting with the most rest experience. Each Key personnel resume must be accompanied with a signed commitment letter (not exceeding one page) from each candidate indicating his or her: (a) availability to serve in the stated position; (b) intention to serve for the stated term of service, in terms of days after the award.

Resumes for all 5 key personnel must include three past performance references with **up-to-date** telephone numbers and email contact information for their most recent supervisors. References can be submitted on an additional page that will not be considered as part of the 3 page limit for Resumes/CVs. USAID reserves the right to carry out reference checks for all proposed key personnel before award, including other references not provided by the Applicant.

USAID expects these key personnel to have the appropriate qualifications and experience to work as a team to manage a complex program, specifically the ability to scale up best practices in social behavior, governance, and human resources for health. While some personnel are expected to be local staff, the SBC4T activity is expected to draw upon the expertise of qualified international consultants with significant experience, for short-term, in health finance, governance, and human resources research and interventions in other countries.

Please note that documentation that reflects an “exclusive” relationship or agreement between an individual and an Applicant is not requested and should not be submitted.

**Annex 2. Draft Activity Monitoring, Evaluation and Learning Plan (AMELP) (not to exceed 5 pages)**

A draft Activity Monitoring, Evaluation and Learning Plan should be submitted with the application and will include:

- Performance indicators, planned data sources, data collection and calculation methods, and annual targets directly linked to proposed activities;
- Clear milestones and indicators for measuring sustainability of supported interventions; and
- A description of how the Recipient will use lessons generated during the course of activity implementation or operations research results to further inform planning and implementation of activities.

**Annex 3. Organizational Chart (not to exceed 1 page)**

Applicants must illustrate staff reporting lines and relationships between the different positions and any proposed partners/sub-recipients taking into consideration the program’s technical complexity and stakeholders.

**Annex 4. Sustainability Plan (not to exceed ~~1~~ 2 page)**

The applicant will submit a sustainability plan as part of this application that demonstrates how activity results will be sustained after completion of the Activity. The applicant must describe the anticipated sustainable elements of the program and any specific approaches proposed to achieve sustainable outcomes. The applicant will also submit a Capacity Building Plan as part of this annex that demonstrates how the Activity, through the four intermediate results, will build the capacity of household and communities to adopt priority health behaviors to prevent and mitigate the impact of potential shocks on their health and productivity. The applicant will submit each plan in one page.

**Annex 5. Mobilization Plan (not to exceed ~~3~~ 4 pages)**

Applicant must submit a mobilization plan, which will at a minimum include a timeline for mobilization of key personnel and technical leads, plan for hiring other proposed TBD staff, startup of office (s), and major equipment procurement. The applicant will also submit an Implementation Plan as part of this annex that demonstrates how the applicant identifies activities associated with an implementation, a brief description of the major tasks involved in the implementation, list the responsibility for each task and associated estimated target dates, describe briefly the overall resources needed to support the implementation effort and any other implementation requirements to ensure adequate preparation.

**Annex 6. Sub-award (not to exceed 1 page)**

The Applicant must submit sub-awardees who identified under this solicitation, which will at a minimum include the roles and responsibilities for each sub-awardee describing how each sub-awardee will be involved into this Activities' objectives and results.

**2) Business (Cost) Application**

The Cost or Business application is to be submitted under a separate cover from the Technical application as stated above. There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NOFO is not desired. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, apparently successful Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the Applicant's risk in accordance with ADS 303.3.9 and 2 CFR 200.205. Certain other documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden Applicants with undue submission requirements if that information is readily available through other sources. Applicants should not submit any additional information with their initial application unless requested.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, the identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

The Business (Cost) Application must contain the following sections (which are further elaborated below this listing for each requirement):

**i) Cover Page** (See Section D.2.a above for requirements)

**ii) SF 424 Form(s)**

The Applicants must provide a budget for each program year with an accompanying detailed budget narrative which provides in detail the total costs for implementation of the program. The cost application must be signed and submitted using Standard Form 424. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

| | |
|---|---|
| **Instructions for SF-424** | https://www.grants.gov/web/grants/forms/sf-424-family.html |
| **Application for Federal Assistance (SF-424)** | https://www.grants.gov/web/grants/forms/sf-424-family.html |
| **Instructions for SF-424A** | https://www.grants.gov/web/grants/forms/sf-424-family.html |
| **Budget Information (SF-424A)** | https://www.grants.gov/web/grants/forms/sf-424-family.html |
| **Instructions for SF-424B** | https://www.grants.gov/web/grants/forms/sf-424-family.html |
| **Assurances (SF-424B)** | https://www.grants.gov/web/grants/forms/sf-424-family.html |

Failure to accurately complete these forms could result in the rejection of the application.

**iii) Required Certifications and Assurances**

The Applicant and each Sub-applicant(s) must complete the following documents and submit a signed copy with their business (cost) 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. In the event that Representations and Certifications are not submitted with the Application; they must be completed and submitted before the final award is made.
(2) Assurances for Non-Construction Programs (SF-424B)
(3) Evidence of responsibility the Agreement Officer can use to determine that the Applicant:
- Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

**iv) Potential Request for Additional Documentation**

As previously stated, upon consideration of award or during the negotiations leading to an award, the Applicant may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. **Applicants should not submit the information below with their applications. The information below is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:**

The information that may be requested should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.

2. Whether the organization's travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should also provide copies of the same.

**v) Budget and Budget Narrative**

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including an itemization of the proposed cost. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible. The Budget Narrative must be thorough and contain sufficient detail regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll documents, and vendor quotes, etc.) to allow USAID to understand the proposed costs and to support USAID's determination that the proposed costs are fair and reasonable.

The Applicant must ensure the budgeted costs address any additional requirements identified in Section A, such as Branding and Marking and Environmental Considerations. The required budget format is found in Attachment D of this NOFO.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major cost elements and by year for activities implemented by the Applicant and any proposed sub-applicants for the entire period of the program.
- Summary Budgets - separate tabs for the Prime and each sub-awardee/sub-recipient. Applicants who intend to utilize contractors or sub-awardees/sub-recipients should indicate the extent intended and a complete cost breakdown. Sub-applicants/subcontracts should follow the same cost format as submitted by the prime Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.
- Detailed Budget, including a breakdown by year of all costs associated with the program, if applicable, headquarters, regional and/or country offices, 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.
- Detailed Budgets for the Prime and each sub-recipient, for all federal funding, broken out by budget category and by year, for the entire implementation period of the project. Sub-applicants/subcontracts detailed budget should follow the same cost format as submitted by the prime Applicant.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) **Personnel**– Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The Applicant must provide cost for personnel for Kampala and regional offices. The Applicant's budget must include position title, salary rate, level of effort in days, and salary escalation factors for each position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the Applicant. Applicants must provide their established written policies on personnel compensation. If the Applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

2) **Fringe Benefits** – (if applicable) If the Applicant has a fringe benefits rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant may propose a rate in accordance with it established personnel policy and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

3) **Allowances**- Allowances should be broken down by specific type and by person, and should be in accordance with applicant's policies and the Department of State Standard Regulations (DSSR).

4) **Travel** – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the Applicant's established travel policies. When appropriate please

provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

5) **Equipment and Supplies** – This cost will be for Kampala and regional offices. The Applicant will provide information on estimated types of equipment and information of all tangible personal property types by stating the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment & supplies items by stating the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable equipment, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the equipment leased.

6) **Contractual/Sub-awards -** This may include costs for all sub-awards/contracts, sub-grants, contracts and general program activities cost. Specify the budget for the portion of the program to be passed through to any sub-recipients or contracts including Consultants. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a sub-recipient or contractor. The sub-recipient budgets must align with the same requirements as the Applicant's budget, including those related to fringe and indirect costs. The Applicant should indicate the subject, General Program Activities Cost, includes but not limited to venue and duration of any proposed trainings, workshops, conferences and seminars and their relationship to the objectives of the program, along with detailed estimates of costs such as venue, travel costs, per diem for participants, etc.

Note: Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work. The cost principles do not address profit or fee; A profit or fee under a grant is not a cost, but is an amount in excess of actual allowable direct and **indirect** costs. A fee cannot be paid by a recipient to a consortium participant, including a for-profit organization. However, a fee (profit) may be paid to a contractor/vendor providing routine commercial goods or services under a grant in accordance with normal commercial practice.

7) **Construction –** Not applicable.

8) **Other Direct Costs** – This may include costs for Kampala and regional offices such as office operation costs which include but not limited to office rent, office utilities and maintenance, vehicles fuel and insurance, generator fuel, report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the Applicant.

9) **Indirect Costs** – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

<u>Method 1 - Direct Charge Only</u>

Eligibility: Any Applicant
Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any Applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the Applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID's Indirect Cost Rate Guide for Non Profit Organizations for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)
Eligibility: Any Applicant that has never received a NICRA
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The Applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

If the Applicant does not have an approved NICRA and proposes to use any of the above methods, the Agreement Officer may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the Applicant's requested method.

Method 4 - Indirect Costs Charged As A Fixed Amount
Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel, administration and accounting or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year.
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

**vi) Prior Approvals in accordance with 2 CFR 200.407**

In order to avoid subsequent disallowance or dispute based on unreasonableness or non-allocability, the recipient may seek the prior written approval of the USAID for indirect costs or the USAID in advance of the incurrence of special or unusual costs. The absence of prior written approval on any element of cost will not, in itself, affect the reasonableness or allocability of that element, unless prior approval is specifically required for allowability as described under certain circumstances in the 2 CFR 200.407.

**vii) Approval of Sub-awards in accordance with ADS 303.3.21**

The Applicant must submit information for all sub-awards that it wishes to have approved at the time of award. For each proposed sub-award the Applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the sub-recipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list, https://sanctionssearch.ofac.treas.gov/.
- Confirmation that the sub-recipient does not have active exclusions in the System for Award Management (SAM), https://www.sam.gov/SAM/pages/public/searchRecords/search.jsf.
- Confirmation that the sub-recipient is not listed in the United Nations Security designation list, https://www.un.org/securitycouncil/content/un-sc-consolidated-list.
- Confirmation that the sub-recipient is not suspended or debarred
- Confirmation that the Applicant has completed a risk assessment of the sub-recipient, 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.

4) **Dun and Bradstreet and SAM Requirements**

USAID **may not** award to an Applicant unless the Applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each Applicant (unless the Applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

i. Provide a valid DUNS number for the Applicant and all proposed sub-recipients;
ii. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov).
iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin the process early. If an Applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the Applicant is not qualified to receive an award and use this determination as a basis for making an award to another Applicant.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Non-U.S. Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on www.sam.gov, navigate to Help, then to International Registrants.

5) **Submission Dates and Times for application submission**

**Deadline for the submission of applications is October 11, 2019. Late applications will not be considered for award nor evaluated.**

6) **Funding Restrictions**

USAID policy is not to award profit under assistance instruments. Therefore, profit is not allowable for recipients or subrecipients under this award. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

7) **Required certifications, assurances, representations, and other statements of the Recipient**

a) See Attachment C for complete Certifications, Assurances, Representations, and Other Statements of the Recipient.

b) **Pre-Award Terms**

1. **Branding Strategy – Assistance (June 2012)**

[Only the “apparently successful Applicant” will be asked to provide at a later date a Branding Strategy and Marking Plan as per the Branding and Marking Template for Agreements to be reviewed and approved by the Agreement Officer and incorporated into any resulting award.]

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.
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, audio- visual 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. 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)

8) **Other submission requirements**

a) Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov, to the attention of Ms. Mercy Lapolo, Acquisition and Assistance Specialist.

b) **Past Performance References and Information**

Information required for Applicant's mandatory risk assessment in accordance with ADS 303.3.9 and 2 CFR 200.205 and determination of responsibility by the Agreement Officer.

The Applicant must provide ~~for itself and each sub-awardee~~ information regarding their recent history of performance. The Applicant must provide not not more than five (5) of the most recent and relevant cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, and up to three (3) of the ~~not to exceed past 3 years~~ most recent and relevant cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs for each sub- awardee, not to exceed the past 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 3 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 email address for each proposed individual.

If the Applicant encountered problems on any of the referenced Awards, it may provide a short explanation and corrective action taken. The Applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an Applicant's history of performance from any sources and may consider such information in its review of the Applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

Applicants should use the format provided in Attachment B: Past Performance Information of the NOFO to document the detailed information as requested. The completed forms must be included in the application's Cost section.

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## Section E. APPLICATION REVIEW INFORMATION

### 1) Overview

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications, and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their applications with the same headings and in the same order as the selection criteria. Please note that, per USAID policy, all criteria listed below will consider the Applicant's consideration of the role of gender and climate risk mitigation in all program activities.

Applications will be evaluated against the merit review criteria listed below. In terms of relative importance, the Criterion A is weighted at 50%, Criterion B weighted at 30%, and Criterion C weighted at 20%. Each main merit review criterion will be assigned an adjectival rating. Sub-criteria are listed in descending order of importance within each main criterion. Sub-criteria will also be assigned adjectival ratings which will help determine the overall Criterion rating.

### 2) Merit Review

The criteria by which the Applications will be assessed are as follows in descending order of importance. Criterion A is more important than Criterion B. Sub-criteria are in equal order of importance within each main criterion.

**Summary Matrix of Review Criteria and Sub-criteria**

| CRITERION | CRITERION NAME |
|---|---|
| **Criterion A- 50%** | **Technical Approach**<br>A.1 Understanding of Country Context<br>A.2 Technical Understanding and Approach<br>A.3 Enhancing Capacity and Sustainability |
| **Criterion B--30%** | **Organizational Capacity and Management Structure**<br>B.1 Institutional Capacity and Experience<br>B.2 Activity Management Plan and Staffing Plan<br>B.3 Coordination, Collaboration and Integration |
| **Criteria C-20%** | **Key Personnel**<br>C.1 Key Personnel and Qualifications |

**Criterion A: Technical Approach (50%)**

The Technical Approach will be evaluated based upon:

- The Applicant's ability to demonstrate an understanding of the context, operating environment and appropriateness of the proposed approach, methodologies and activities to achieving the activity's goal and outcomes, depth understanding of the SBC challenges, regional variations, disease epidemiology, audience segmentation and provides well defined, analytical and technically sound interventions that will directly lead to the achievement of results as detailed in Section A, Program Description, while including – but not limited to - cross-cutting requirements and guiding principles mentioned within the Program Description.
- The clarity and appropriateness (given the theory of change) of the Start Up Plan for considering what knowledge and preparation are needed to develop a strong work plan, including the necessary analyses, evidence, stakeholders, and systems for collaboration. The Applicant's Approach to the AMELP will be evaluated based on the appropriateness of indicators for measuring outcomes (including intermediate outcomes and outputs) and results, as well as considerations for cost effectiveness of data collection, effectiveness for managing the activity, and alignment with principles of adaptive management. The Applicant demonstrates how articulates the implementation that support effective CLA over the life of the award. The applicant shall demonstrate how their proposed approach are feasible given timeline and available funding and show innovative thinking across all project work streams, and an understanding of the rapidly evolving science of SBC.
- The applicant shall demonstrate an understanding of SBC evidence based capacity strengthening approaches targeting individuals, institutions, district, and national level systems to influence adoption of health behaviors and showing rapid and routine monitoring activities that enable continued improvement of program quality.

**(b) Criterion B: Organizational Capacity and Management Structure (30%)**

The Applicant's Organizational Capacity and Management Structure will be evaluated based on:

- The Applicant's ability to describe and justify their proposed management approach that demonstrates the technical breadth and ability to adaptively manage the program, capacity and experience of the Applicant to start up in a timely fashion; to describe the plan for collaboration and coordination with other USAID-funded activities, development partners, and the private sector; to provide detail into how sub-awards will be managed to optimize effectiveness; and to explain how the management and implementation plan will fulfill the programmatic and operational requirements of the Activity, including, but not limited to, project development, awards management, technical assistance, procurement, financial oversight, and project administration as related to the Organizational Chart and how the proposed strategies/approaches will ensure fraud, waste, and abuse mitigation.
- The Applicant's ability to describe how the proposed organizational capacity and management structure contribute towards achieving the objectives and results described in the Activity description. The applicant will describe the geographic location of offices and how the location promotes implementation and coordination within the team and with key stakeholders.

- The applicant defines a clear and convincing approach for engaging, collaborating, and coordinating with USG partners and other stakeholders to scale up SBC interventions at regional and district levels. The applicant demonstrates how GoU will be engaged and supported to build SBC country capacity including how tools and approaches may be mainstreamed within country-level SBC programs.
- The Applicant's ability to describe a sound coordination and coordination approach vital to efficiently work with IP, GoU counter-parts, and other stakeholders.

**(c) Criterion C: Key Personnel (20%)**

The Key Personnel and Qualifications will be evaluated based on:

- The Applicant's ability to describe how the proposed personnel and staffing plan, for both home office support and field offices support (including key and non-key personnel), will: ensure maximum effectiveness in implementing the technical approach and achieving the expected results, project expectations and scale; maintain accountability for programming; and describe how each of the key personnel has the requisite experience and expertise to meet or exceed the requirements set forth in Section B.
- The application clearly demonstrates that the team composition/staffing plan and organizational structure for the Activity is justified, and the mechanisms by which coordination and knowledge flow across the structure will be assured and how as a group, the proposed key personnel complement each other in management, design, technical and implementation skills necessary to successfully and effectively implement the proposed technical approach.

i. **Business (Cost) Review**

Note: Cost applications of Applicants with technical scores of Marginal and/or unsatisfactory will not be evaluated.

The AO will review the apparently successful applicant's budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. This will consist of a review of the cost application budget breakdown; and evaluate and analyze specific elements of costs for reasonableness and allocability of costs in the budget, and allowability of the costs under the applicable cost principles found in 2 CFR 200 Subpart E.

The apparently successful applicant must justify in advance the proposed costs for each element of the program to determine:

(1) The extent of the prospective recipient's understanding of the financial aspects of the program and the recipient's ability to perform the grant activities within the amount requested;

(2) Whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency.

### ii. Pre-award Risk Assessment

In accordance with ADS 303.3.9 the Agreement Officer will perform a risk assessment (2 CFR 200.205) of the apparently successful applicant(s).

Past performance reviews will be initiated of the "apparent successful applicant" as part of the applicant's risk assessment and responsibility determination. The Selection Committee chair will validate the applicant's past performance reference information based on existing evaluations to the maximum extent possible, and may contact all references to verify or corroborate the following:

- How well an applicant performed,
- The relevancy of the work performed under the program,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant problems, and
- Any indications of excellent or exceptional performance in the most critical areas.

USAID reserves the right to obtain past performance information from other sources including those not named in the applicant's application.

If criteria found in ADS 303.3.9.1 applies to the apparently successful applicant, the Agreement Officer is required to perform a formal pre-award survey in conformance with that provision before making a risk assessment decision. Depending on the result of the risk assessment, the Agreement Officer may either decide to make the award, not execute the award, or award with "specific conditions" (2 CFR 200.207).

### 3) Cost share is an eligibility requirement

Applicant's that do not meet the minimum 5% cost share requirements are not eligible for award consideration and their application will not be evaluated. Cost sharing is an important element of the USAID-recipient relationship and the applicant's compliance with Section C will be a consideration for award.

### 4) Review and Selection Process

A Selection Committee shall review the programmatic merits of the applications. However, the Agreement Officer makes the final selection.

### 5) Anticipated Announcement and Award Dates

USAID/Uganda anticipates awarding this Activity in March 2020.

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## Section F. FEDERAL AWARD ADMINISTRATION INFORMATION

### 1) Federal Award Notices

Award of the agreement contemplated by this NOFO 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 apparently successful Applicant is hereby notified of these requirements and conditions for the award.

USAID may notify the apparently successful Applicant of their recommendation for funding, but only a signed and executed award will constitute an obligation by USAID Agreement Officer to reimburse any costs incurred in the performance and implementation of a project/program. The signed and executed award will be e-mailed to the apparently successful Applicant.

The Agreement Officer is the only individual who may legally obligate USAID to the expenditure of public funds. The Agreement Officer may authorize pre-award costs in accordance with 2 CFR 200.209, but such pre-award costs will be incurred at the Applicant's sole risk in the event the award is not signed by the Agreement Officer, or is denied or is less than the amount proposed by the apparently successful Applicant.

USAID will notify all unsuccessful Applicants that will not be considered for award explaining briefly why USAID did not select their application. Requests for additional information will not be considered from unsuccessful applicants.

### 2) Administrative & National Policy Requirements

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 200, 2 CFR 700, and ADS 303maa Standard Provisions for U.S. Nongovernmental Organizations.

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 200, 2 CFR 700, and ADS 303mab Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf

2 CFR 200:
http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

2 CFR 700 is available at: http://www.ecfr.gov/cgi-bin/text-idx?SID=74c9b031753603ccb31812ebb90e203a&tpl=/ecfrbrowse/Title02/2cfr700_main_02.tpl

Applicable OMB Circulars are available at: http://www.whitehouse.gov/omb/circulars_default

Mandatory Standard Provisions for U.S. Nongovernmental Recipients can be accessed through USAID's website: https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS 308.5.15. ADS 308 is available at: https://www.usaid.gov/sites/default/files/documents/1868/308.pdf

Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

3) **Reporting**

The types and frequency of financial and programmatic reports must be strictly limited to those detailed in 2 CFR 200.

This award follows the U.S. Government fiscal year for reporting, which runs from October 1 to September 30. References to quarters or years in reporting relates to the U.S. Government calendar below:

Quarter 1: October 1 – December 31
Quarter 2: January 1 – March 31
Quarter 3: April 1 – June 30
Quarter 4: July 1- September 30

The Recipient(s) will submit the following documents to the AOR electronically within the time period noted/specified in the award. Reports will be timed and formatted so that they can provide USAID with useful information needed for the reporting requirements.

**i. Annual Implementation/ Work Plan**

Based on this program description, the Recipient must prepare and submit a detailed annual work plan to guide the implementation process with a breakdown of activities and timelines and anticipated progress in the achievement of the Activity results (consistent with the Activity M&E Plan), as well as the associated costs. The Recipient shall ensure a collaborative process in work plan development, consulting beneficiaries, USG and donor partners, USAID and other relevant stakeholders in preparing the annual work plan to ensure complementarity and shared ownership. In addition, the AOR may work with the Recipient to define particularly relevant sections of the work plan that would enhance implementation, such as key assumptions and risks (as well as plans to mitigate and update these), lessons learned and work plan adjustments going forward.

CLA section of the work plan must address:

- Any proposed actions to strategically collaborate internally and with other implementing partners to conduct joint targeting, product development, and/or collaborative research;
- How knowledge gaps in the theory of change, the technical implementation approach, operating environments, assumptions and risks, will be filled using activities such as, but not limited to, monitoring, research, evaluation and analytical studies;
- How knowledge generated by learning will be used to increase efficiency; and
- How/which approaches and activities will change based on CLA.

### ii. Quarterly Performance Reports

The Recipient must submit quarterly reports that include narratives of quarterly achievements, and progress against the work plan, and agreed upon performance indicators. The quarterly report shall describe and assess the overall progress to date based upon agreed performance indicators. The reports shall also describe the accomplishments of the Recipient and the progress made during the past quarter; include information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, subcontracts, and grants). The quarterly reports must provide information on the extent to which gaps between males and females were closed; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. Recipients must notify USAID of developments that have a significant impact on the award-supported activities.

The quarterly report provides the opportunity to discuss the impact of learning on the program, updates in key assumptions and the underlying development hypotheses. Also, notification must be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award or which may have an impact on the development hypothesis or theory of change for the Activity, and/or other activities (USG-funded or not) which might be informed by such learning. This notification must include a statement of the action taken or contemplated, and any assistance needed to resolve the situation. The quarterly Activity and financial reports are to be submitted within 30 days after the end of each fiscal quarter to the AOR at USAID/Uganda.

With regards to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly;
- Include performance indicators to measure CLA;
- Increased ability of USAID implementing partner to respond to the needs of target groups by using learning;
- Instances of learning applied to influence decision making, resource allocation; contextual shifts; and
- Increased efficiency in Activity implementation.

### iii. Annual Performance Report

Annual performance reports on the project activities and progress against indicators are the responsibility of the Recipient and are needed by USAID/Uganda to provide timely input to the USG’s Operational Plan. To the extent possible, the annual performance report must cover activities and results through the end of the fiscal year, and must review the cumulative experience, learning, adaptations and the implications of these for the year.

With regards to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly;
- Increased ability of USAID implementing partner to respond to the needs of target groups by using learning;
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts; and
- Increased efficiency in Activity implementation.

### iv. Final Performance Report

The report must summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation, as well as key learnings from the total implementation experience. In addition the report must specifically address how the Activity addressed gaps between males and females were closed; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. It must cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories (or challenges), and detailed financial information. It must be grounded in evidence and data. The final/completion report must also contain an index of all reports and information products produced under the award.

### v. Financial Reporting

Financial reporting requirements will be in accordance with 2 CFR 200.327. The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format completed by the Recipient and emailed to the AOR and to KampalaUSAIDVouchers@usaid.gov.

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Accrual reports must be submitted at least 3 weeks before the end of each quarter or as requested on an ad hoc basis. The Recipient must also submit a copy of the Federal Financial Report (FFR) to the AOR. For non-U.S. Nongovernmental Organizations that cannot use a Letter of Credit (LOC), financial reporting requirements will be in accordance with the procedures set forth in: Standard Provision "Advance Payment and Refunds (December 2014) or Standard Provision "Reimbursement Payment and Refunds (December 2014)".

Quarterly Financial Reports will include a report on expenditures incurred during the report period and activity projected expenditures for the next quarter, against award line items. Reports should breakout funds by funding stream and budget-line. The Recipient must in quarterly financial reports show the amount obligated, accrued expenses during the quarter, cumulative spending, and estimates for the next quarter.

Reports are due as noted below:

| **Reporting Quarter** | **SF-425 Due Date** |
|---|---|
| January 1 – March 31 | April 30 |
| April 1 – June 30 | July 30 |
| July 1 – September 30 | October 30 |
| October 1 – December 31 | January 30 |

### vi. Activity Monitoring and Evaluation Plan (AMELP)

The AMELP is a management tool that enables the Recipient and USAID to track whether the desired results are being achieved and project implementation is being adapted to changing conditions. This plan must define critical performance indicators, data collection methods and Recipient's plans for analyzing, utilizing and sharing information for reporting, accountability, learning and adaptation.

The AMELP report will:

- Include all performance indicators, with targets and baseline figures needed to measure achievement of stated goals and results as well as any other indicators the Recipient believes to be necessary to adequately track progress and impact of activities;
- Data analysis methodologies, including suggestions for data segregation by districts, genders and others;
- Collaborate with data collection and M&E activities of other USG implementing partners, M&E of the USAID/ Uganda Strategic Information Technical Support (SITES), USAID/Uganda Learning Contract, the National health management information systems (HMIS), lot quality assurance survey (LQAS), Facility Assessment, and other national surveillance systems to avoid duplication in data collection and analysis;
- Include clear milestones and indicators for measuring sustainability of supported interventions;
- Dedicate a section of the M&E plan to describe how the Recipient will use lessons generated during the course of Activity implementation or operations research results to further inform planning and implementation of activities;
- Use Geographical Information Systems (GIS) to map health outcomes, key population groups, disease pattern, service coverage, and available resources in order to enhance analysis and interpretation of Activity results;
- A clear learning agenda and platform for integrating CLA in assessment, planning, implementation and monitoring;
- A schedule of weekly meetings with AOR and how agreed actions (if any) from the weekly
- check-in meetings will be integrated into activity implementations; and

With regards to CLA, the Recipient must address the following in the AMELP:
- How the products and results of collaboration will improve implementation approaches and development practice broadly;
- Approaches that improve USAID implementing partner's ability to respond to target groups' needs by using learning;
- How the application of learning will influence decision making, resource allocation, and contextual shifts; and
- How to increase the efficiency of Activity implementation.

**vii. Baseline Assessment**

Recipient must submit an Initial baseline assessment will be submitted no later than 90 calendar days after the effective date of the award. This assessment will assist in identifying approaches required to achieve the Activity's targets and will provide a benchmark for tracking achievements.

**viii. Sustainability Plan**

The Applicant is expected to submit a draft of sustainability plan for this Activity at the submission stage. The revised plan is expected to be submitted no later than 45 days after the effective date of the award. the Final Plan is due upon USAID approves the revised plan. The plan demonstrates how Activity results will be sustained after completion of the Activity. The Applicant must describe the anticipated sustainable elements of the program and any specific approaches proposed to achieve sustainable outcomes especially at national level.

**ix. Gender, Youth and Social Inclusion Analysis**

The recipient will need to conduct a Gender, Youth, and Social Inclusion Analysis to determine how best to reach these key sub-populations and integrate the findings into work plans and interventions. A draft report will be due 120 days after award.

### x. PEPFAR Reporting

Recipients implementing programs funded through PEPFAR must report annually on program expenditures. Specifically, Recipients must use the form PEPFAR Program Expenditures (DS-4213 OMB 1405-0208) as a part of completing the PEPFAR Annual Progress Report at the end of each USG fiscal year (September 30).

In addition, Recipients implementing PEPFAR-funded programs must provide necessary data to fulfill PEPFAR's strategic information requirements while meeting all other PEPFAR reporting requirements.

### xi. Close-Out and Disposition Plan

Close-out and disposition plan in accordance with 2 CFR 200.343 and 2 CFR 200.313, 2 CFR 200.314 and 2 CFR 200.315 will be submitted six months before the activity end date for USAID approval.

### xii. Quarterly VAT Reports

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the Recipient and by non-local subcontractors/sub-recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not permit tax exemption at the point of sale. Therefore, the Recipient must budget and bill USAID for expenses inclusive of 18% VAT.

The Recipient must submit original VAT tax invoices/receipts, original certified summary (using a format provided by USAID) and 1 copy of all documents to USAID by the 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.

USAID will seek a VAT refund from the Government of Uganda. The refund will not be returned to the Recipient.

The Recipient is responsible for ensuring that subcontractors, sub awardees, and grantees comply with this requirement. All VAT claims, for the Recipient, subcontractors, sub awardees and grantees, must be submitted to USAID through the prime Contractor.

The USAID point of contact for submission of quarterly VAT information is kampalavatusaid@usaid.gov Office of Financial Management, USAID/Uganda.

### xiii. Foreign Tax Report:

By April 16 of each year, the recipient must submit a report containing:

(i) Recipient name.
(ii) Recipient name with phone, fax and e-mail.
(iii) Agreement number(s).
(iv) The total amount of value-added taxes and customs duties (but not sales taxes) assessed by the host government (or any entity thereof) on purchases in excess of $500 per transaction of supplies, materials, goods or equipment, during the 12 months ending on the preceding September 30, using funds provided under this contract/agreement.

(v) Any reimbursements received by April 1 of the current year on value-added taxes and customs duties reported in (iv).
(vi) Reports are required even if the recipient did not pay any taxes or receive any reimbursements during the reporting period.
(vii) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.

**xiv. Annual Certification for Human Trafficking:**

The recipient must submit to the Agreement Officer, the annual "Certification regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013" as required prior to this award, and must implement a compliance plan to prevent the activities described above in section (a) of the provision (Schedule C, Mandatory Standard Provisions "TRAFFICKING IN PERSONS (April 2016)"). The recipient is required to annually certify that neither the recipient nor sub-awardee, or contractor, at any tier, or their employee, labor recruiters, brokers or other agents are engaged in any of the activities stated in mandatory provision mentioned above. The recipient must provide a copy of the compliance plan to the Agreement Officer upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace.

The first Certification should be submitted when award started. The concurrent certifications should be submitted within 30 calendar days following the end of each fiscal year. The draft certificate is accessible at the link below:

https://www.usaid.gov/sites/default/files/documents/1866/USAID_Trafficking_Persons_Annual_Certification.pdf.

**xv. Other Reports:**

The Recipient will prepare and disseminate, as directed by the AOR, other reports needed to accomplish the purpose of this award, such as assessments, including but not limited to, gender and youth assessments, studies, and other analytical products. These reports will include activity reports; technical reports; data quality assessment reports, portfolio review and performance plan and report analytical products, evaluation, review and other operational research reports. The reports required and the number of copies will be determined at the time of the Annual Work plan.

4) **Synopsis of Reports/Plans**

| Type of Document/ Report | Due Date | Distribution |
|---|---|---|
| First Year Implementation/Work Plan | Revised draft due no later than 45 calendar days after the effective date of the award. | AOR |
| Quarterly Performance Reports | 1. Submission of this report will be no later than 30 days after the end of each fiscal quarter<br>2. This includes reporting on the recipient quarterly and annual indicators in the respective Performance Management Information System. | AOR |

| | | |
|---|---|---|
| Annual Performance Report | 30 calendar days following the end of the fiscal year | AOR |
| Final Performance Report | Draft of this report will be submitted 30 calendar days after the end date of award. Final due 90 calendar days after the award end date. | AOR |
| Financial Reporting | Accrual reports - 3 weeks before the end of each quarter or as requested on an ad hoc basis. Quarterly Financial Reports - 30 days after the end of each calendar quarter | AOR |
| Activity Monitoring and Evaluation Plan (AMELP) | First draft due no later than 90 calendar days after the effective date of the award. The date of the final submission plan will be discussed with the AOR and Health Office Strategic Information (SI) Unit team. | AOR,SI, PPD |
| Baseline Assessment ~~Survey~~ Report | Final draft due no later than 45 calendar days after the effective date of the award | AOR, PPD |
| Sustainability plan | Revised draft due no later than 45 calendar days after the effective date of the award. Final Plan due upon USAID approves the revised final plan. | AOR, PPD |
| Gender, Youth and Social Inclusion Analysis | No later than 6 months after the effective date of the award | AOR, PPD |
| Environmental Mitigation and Monitoring plan (EMMP) [See Section A, E.9] | Along with Annual Implementation Work plan | AOR, MEO |
| Annual Implementation Plans | First draft due no later than 30 calendar days before the beginning of each fiscal year. | AOR |
| Annual Certification for Human Trafficking | 30 calendar days following the end of the fiscal year | AO, AOR |
| Annual PEPFAR Program Expenditures (DS-4213 OMB 1405-0208) | Annual report due September 30 every year. | AOR, AO |
| Close-Out and Disposition Plan | Six months before the end of the award. | AOR |
| Government Property Reporting | Annual report due at the end of each fiscal year. | AOR |
| Quarterly VAT Reports | 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25. | AOR-Controller |
| Annual VAT Reports | 30 calendar days following the end of the fiscal year | AOR-Controller |

5) **Special Provisions**

The following special provisions may be made part of the resulting award.

a. **Geographic Information Systems (GIS)**

There are three types of geographic data that the Mission would like to collect in a standardized manner:

1. **Project and Activity Location Data:** In consultation with the AOR, project and activity location data when utilized should be submitted according to the geographic precision defined by the Mission's data requirements. Capturing a discrete location for project and activity locations is an essential step towards establishing an effective method of managing and communicating project and activity information.

2. **Thematic Data:** This includes information such as demographic indicators, built infrastructure, environmental features, and any other thematic data. When created or acquired using USAID funds, these datasets are considered the property of USAID and when utilized should be submitted to the AOR.

3. **Project Specific Data**: This includes data that is created during a project and may be useful to the Mission's own strategic planning and design purposes. When created or acquired using USAID funds, these datasets are considered USAID's property and when utilized should be submitted to USAID.

Recording a discrete location for project and activity locations is essential in establishing an effective method of managing, analyzing, and communicating project and activity information.
The Recipient will work closely with the AOR to determine necessary information to collect, which may include:

- Type of activity
- Estimated cost of activity
- Photograph of activity
- Location of activity
    - Point features (latitude, longitude) such as public institutions with hand washing facilities, etc.
    - Area features (polygon) such as boundaries
- Location, including the name of the village
- District name for activity location
- Facility type (home, school, health facilities, etc.)

Geographic Data should be projected to the Geographic Coordinate System World Geodetic System 1984 (GCS WGS 1984). All data should use the World Geodetic System 1984 (WGS 1984) datum.

The location and activity specific data would be recorded and managed by the Grantee. It would be submitted to the AOR and GIS Specialist in any of the following formats: .CSV file, MS Excel spreadsheet, MS Access database, or GIS-ready shapefile (.shp)/geodatabase.

As defined in the USAID Policy Framework (2011-2015), USAID is committed to geographically targeting aid investments, monitoring & evaluating overall aid effectiveness, and upholding the Agency's open data and transparency goals. Utilizing GIS technology, geographic data and analysis is integral to effectively achieving all of these objectives. Geospatial analysis is a top priority of the USAID/Uganda to be incorporated into the learning agenda and M&E work to build resilience. In alignment with the US Government commitment to transparency and open data, as well as with USAID Data Policy (ADS 579), geographical data collected and the resulting maps produced as part of this program will be shared with the affected communities, district local governments, and the general public. All efforts will be made to protect Personally Identifiable Information (PII).

**[End of Provision]**

b. **Shock Modifier**

USAID intends to leverage existing programming for cross cutting support such as: Infection Prevention and Control, community engagement for adoption of health behaviors and general health systems improvement with cross-cutting health benefits including Ebola prevention, detection and response. Adaptive management will be required to respond in implementation of the shock modifier while maintaining development gains achieved through normal activity implementation.

This clause may be enacted in the event of Ebola Outbreak, pandemic threat or other natural disaster.

(1) Data indicates that there is a high probability of a crisis developing in the operating environment during the life of this activity. If a crisis develops, it is imperative to use adaptive management principles to respond immediately to the crisis as well as maintain development gains achieved through activity implementation up until the crisis.

(2) When the Mission Director has formally declared the need in writing, the Agreement Officer will, through oral or written communication, solicit a crisis response for adjustment from the recipient to respond to the crisis.

(3) The Recipient will submit the crisis response application for adjustment to the Agreement Officer in the time period indicated by the Agreement Officer.

(4) If through negotiation the parties agree on a crisis response which increases or decreases the cost of, or time required for performing the work, the Agreement Officer shall make an equitable adjustment upon submittal of a final crisis response application for adjustment before final payment under the assistance.

(5) Notwithstanding the terms and conditions of paragraphs (a) through (d) of this clause, as the Award will be incrementally funded, the funds allotted for performance of this activity, shall not be increased or considered to be increased except by specific written modification. Until the modification is made, the Recipient shall not be obligated to incur costs beyond the award amount established in Award.

(6) Failure to agree to any adjustment shall be a dispute under the Disputes clause.

**[End of Provision]**

c. **Utilization of Science, Innovation, Technology, and Partnership (SITP) for Collaboration**

The recipient is strongly encouraged to utilize science, innovation, technology, and partnership (SITP) to:

- Do business differently to enhance the lives of Ugandan beneficiaries and share best practices;
- Integrate change management practices to allow for program adaptation and realignment;
- Utilize project management tools/software for enhanced partnership and synergy with USAID and other programs and allow for reporting on multiple funding streams.

**[End of Provision]**

d. **Procurement Executive's Bulletin No. 2014-06: Electronic Payments System**

**Definitions: "**Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

"Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, sub recipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
c. Cash payments to vendors below $3000, when payment through an electronic payment system is not reasonably available.
d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at http://solutionscenter.nethope.org/programs/c2etoolkit."

**[End of Provision]**

e. **Non-Discrimination in Implementation of USAID-Funded Programs**

In the implementation of USAID-funded programs, the Recipient or Sub Recipient shall not discriminate against any beneficiary or potential beneficiary, such as but not limited to, by capriciously or selectively withholding or denying assistance or benefits under the project, on the basis of any non-merit factor, including one or more of the following bases: race, color, religion, sex (including gender identity or perceived gender non-conformity, and pregnancy) national origin, disability, age, sexual orientation, genetic information, marital status, parental status, political affiliation, veteran's status, or other factors that adversely impact the beneficiaries' access to, or participation in, services provided under the award. Nothing in this provision is intended to limit the ability of a Recipient to target assistance to certain populations as defined in the approved work plan of a USAID-funded program.

**[End of Provision]**

f. **Acquisition & Assistance Policy Directive No: 14-03: Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (AUGUST 2014)**

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1)Was "convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2)Has any "unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures that this further action is not necessary to protect the interests of the Government".

For the purposes of section 7073, it is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

**[End of Provision]**

g. **Program Income**

Program Income is not anticipated to be generated under this award. If generated, program income earned during the Activity's period of performance must be added to the total program amount and used to further eligible objectives for the Activity. In accordance with 2 CFR 200.307(e) Program income that the recipient did not anticipate at the time of the Federal award must be used to reduce the Federal award and recipient contributions rather than to increase the funds committed to the project.

h. **Environmental soundness and compliance**

The SBC4T activity environmental compliance obligations under the FAA Sec 117 and 22 CFR 216 regulations and procedures are specified in Section A.I.F.8 of this NOFO.

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## Section G. FEDERAL AWARDING AGENCY CONTACT(S)

**Point of Contact Information:**

Only the Agreement Officer is authorized to make commitments on behalf of USAID. The Agreement Officer is listed below:

Admir Serifovic
Agreement Officer
USAID/Uganda
US Embassy Compound
Plot 1577, Ggaba Road
Kampala, Uganda

**Generic Email:** KampalaUSAIDSolicita@usaid.gov

Any questions while the funding opportunity is open may be submitted to the attention of Ms. Mercy Lapolo, A&A Specialist at the above email.

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## Section H. OTHER INFORMATION

### 1) Other Information

USAID reserves the right to fund any or none of the applications submitted. Any award(s) and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

### 2) 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."

### 3) List of Attachments

Attachment A: List of Acronyms
Attachment B: Past Performance Information
Attachment C: Certifications, Assurances, Representations and Other Statements of the Recipient
Attachment D: Budget Template
Attachment E: USAID/Uganda Local Compensation Plan (LCP) Summary

### 4) Other Resources

SAM: Quick Start Guide for New Grantee Registration
https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

SAM: Quick Start Guide for International Registrants
https://www.sam.gov/SAM/transcript/Quick_Guide_for_International_Entity_Registration.pdf

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## Section I. ATTACHMENTS AND RESOURCES LINKS

| | |
|---|---|
| Attachment A | List of Acronyms |
| Attachment B | Past Performance Information |
| Attachment C | Certifications, Assurances, Representations and Other Statements of the Recipient https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf |
| Attachment D | Budget Template |
| Attachment E | USAID/Uganda Local Compensation Plan (LCP) Summary |
| Resource Link 1 | Such processes include JHU-CCP's P-Process, FHI360's C-Cycle, and PSI's DELTA, among many others https://www.thecompassforsbc.org/sbcc-tools/p-process |
| Resource Link 2 | UNAIDs 2016 https://www.unaids.org/sites/default/files/media_asset/global-AIDS-update-2016_en.pdf |
| Resource Link 3 | 2016 Uganda DHS https://dhsprogram.com/what-we-do/survey/survey-display-504.cfm |
| Resource Link 4 | The Uganda Bureau of Statistics reported a total population of 34.6 million people in 2014 https://www.ubos.org/wp-content/uploads/publications/03_20182014_National_Census_Main_Report.pdf |
| Resource Link 5 | UNDP, A Final Evaluation for the Project Promoting Civic and Political Participation of Youth and Women in the Informal sector: final report, 2013 https://www.un.org/democracyfund/sites/www.un.org.democracyfund/files/uganda_-_udf-uga-13-547_-_evaluation_report.pdf |
| Resource Link 6 | USAID Uganda CDCS Strategy 2016-2021 https://www.usaid.gov/sites/default/files/documents/1860/CDCS_FINAL_26092017.tags_.pdf |
| Resource Link 7 | Behavior Integration Guidance https://acceleratorbehaviors.org/index |
| Resource Link 8 | USAID Gender Equity and Female Empowerment Policy https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf |
| Resource Link 9 | USAID Youth Development Policy http://blog.usaid.gov/2012/11/new-usaid-policy-on-youth-in-development |
| Resource Link 10 | Standard Provisions for U.S. NGOs https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf |
| Resource Link 11 | Standard Provisions for Non-U.S. NGOs https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf |
| Resource Link 12 | Allowable USG Funding Support for GOU Entities and Staff https://www.usaid.gov/sites/default/files/documents/1860/J.14%20Allowable%20USG%20Funding%20Support%20for%20GOU%20Entities%20and%20Staff_0.pdf |

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## ATTACHMENT A - LIST OF ACRONYMS

| | |
|---|---|
| AMELP | Activity Monitoring, Evaluation and Learning Plan |
| AO | Agreement Officer |
| AOR | Agreement Officer Representative |
| CDC | Center for Disease Control |
| CDCS | Country Development Cooperation Strategy |
| CHC | Communication for Healthy Communities |
| CLA | Collaborating, Learning, and Adapting |
| COP | Chief of Party |
| CRVS | Civil Registration and Vital Statistics |
| DCOP | Deputy Chief of Party |
| DHIS2 | District Health Information System |
| D/HEHP | Department for Health Education and Health Promotion |
| DO | Development Objective |
| DUNS | Data Universal Numbering System |
| ER | Environmental Review |
| ERF | Environmental Review Form |
| EMMP | Environmental Mitigation and Monitoring Plan |
| FAA | Foreign Assistance Act |
| FtF | Feed the Future |
| FP/MNCH | Family planning and maternal and neonatal child health |
| GHSA | Global Health, Global Health Security Agenda |
| GoU | Government of Uganda |
| HMIS | Health Management Information System |
| ICAN | Integrated Agriculture and Nutrition |
| IEE | Initial Environmental Examination |
| IP | Implementing Partner |
| IR | Intermediate Result |
| J2SR | Journey to Self-Reliance |
| LQAS | Lot Quality Assurance Survey |
| MEL | Monitoring, Evaluation and Learning |
| MIS | Malaria Indicator Survey |
| MoH | Ministry of Health |
| NOFO | Notice of funding opportunity |
| PMI | President’s Malaria Initiative |
| RHITES | Regional Health Integration to Enhance Services |

| | |
|---|---|
| SBC4T | Social and Behavior Change for Transformation |
| SITES | Strategic Information Technical Support |
| SBC | Social Behavior Change |
| SBCC | Social and Behavior Change Communication |
| TFR | Total Fertility Rate |
| TB | Tuberculosis |
| TWG | Technical Working Group |
| UBOS | Uganda Bureau of Statistics |
| USAID | United States Agency for International Development |

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## ATTACHMENT B PAST PERFORMANCE INFORMATION

(TO BE COMPLETED BY THE APPLICANT/SUB-AWARDEES)

| |
|---|
| **1. AWARD NUMBER:** |
| **2. RECIPIENT/ CONTRACTOR (NAME AND ADDRESS):** |
| **3. TYPE OF AWARD:** |
| **4. COMPLEXITY OF WORK: DIFFICULT ________ROUTINE ___________** |
| **5. DESCRIPTION, LOCATION, AND RELEVANCY OF WORK:** |
| **6. DOLLAR VALUE OF WORK : __**<br>**STATUS: ACTIVE _____COMPLETED_ ______** |
| **7. DATE OF AWARD: ___________**<br>**AWARD COMPLETION DATE (INCLUDING EXTENSIONS): ____________** |
| **8. TYPE AND EXTENT OF SUBAWARDS:——** |
| **9. NAME,**<br>**ADDRESS,**<br>**TELEPHONE NUMBER,**<br>**AND E-MAIL ADDRESS [*OF THE AWARDING CONTRACTING/AGREEMENT OFFICER AND/OR THE CONTRACTING/AGREEMENT OFFICER'S REPRESENTATIVE (AND OTHER REFERENCES AS APPLICABLE)*]:** |

## ATTACHMENT C - CERTIFICATIONS, ASSURANCES, REPRESENTATIONS AND OTHER STATEMENTS OF THE RECIPIENT

Can be downloaded from https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

## ATTACHMENT D - BUDGET TEMPLATE

[See Attached]

## ATTACHMENT E- USAID/UGANDA LOCAL COMPENSATION PLAN

[See Attached]

**[END OF NOFO]**