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RFA-OAA-17-000002

**Issue Date:** January 3, 2017

**Deadline for Clarification Questions:** 4:00pm EDT, January 13, 2017

**Closing Date:** March 3, 2017

**Closing Time:** 4:00pm EDT

**Subject:** Request for Applications (RFA) Number: RFA-OAA-17-000002  
**USAID/Washington (M/OAA/GH)**

**Program/RFA Title: Breakthrough-ACTION**

**Catalog of Domestic Foreign Assistance (CFDA) Number:** 98.001

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from eligible U.S. and non-U.S. non-profit Nongovernmental Organizations (NGOs), for profit NGOs, private voluntary organizations (PVOs), Institutions of Higher Education/Universities and Nongovernmental International Organizations -- excluding all countries not included in Geographic Code 937 -- entitled "**Breakthrough-ACTION.**" USAID strongly encourages applicants to propose creative and collaborative partnerships with other U.S. and/or international organizations, Nongovernmental Organizations (NGOs), private voluntary organizations, and firms, especially small businesses, to implement activities under this program. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of objectives and expected results.

Applicants under consideration for an award that have never received funding from USAID may be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to provide approximately \$300 million in total USAID funding to support countries in achieving desired improvements in health and development outcomes, including increasing demand for family planning (FP) satisfied with modern contraception; ending preventable child and maternal deaths (EPCMD); achieving and maintaining an AIDS-Free Generation (AFG); and achieving a malaria-free world. While one award is anticipated as a result of this RFA, USAID reserves the right to fund any or none of the applications submitted.

Award will be made to the responsible applicant(s) whose application(s) best meets the requirements of this RFA and the Merit Review Criteria contained herein. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant application 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. Applications are submitted at the risk of the applicant; if circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

To be eligible for award, the applicant must provide all information as required in this RFA and meet eligibility standards in Section C of this RFA. This funding opportunity is posted on [www.grants.gov](http://www.grants.gov), and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this RFA. Applicants will need to have available, or need to download, Adobe to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire RFA has been downloaded from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

The successful applicant will be responsible for ensuring the achievement of the program description. Applicants should also note that the documents listed in this RFA under "Useful Resources," and other "Annexes," are intended only as sources for background information that may be helpful to applicants, but are not a part of this RFA. All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Eligible organizations interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of project sought, application submission requirements, and review process.

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following sections:

- |              |                                        |
|--------------|----------------------------------------|
| 1. Section A | Program Description                    |
| 2. Section B | Award Information                      |
| 3. Section C | Eligibility Information                |
| 4. Section D | Application and Submission Information |
| 5. Section E | Application Review Information         |
| 6. Section F | Award and Administration Information   |
| 7. Section G | Agency Contacts                        |
| 8. Section H | Other Information                      |
| 9. Section I | Annexes                                |

**Any questions concerning this RFA must be submitted in writing to Ms. Samantha Corey, Agreement Officer, via email at [scorey@usaid.gov](mailto:scorey@usaid.gov) in accordance with the due date and time at the top of this cover letter.** Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to [www.grants.gov](http://www.grants.gov).

**The applicant must submit applications in electronic format ONLY as described in Section D.** Applicants must submit both technical and cost portions of their applications in separate volumes. An award will be made to the responsible applicant whose application offers the best value to the Government.

**All applications must be emailed to scorey@usaid.gov, and received by the closing date and time indicated at the top of this cover letter.** Applications and amendments thereof shall be submitted with the name and address of the applicant and RFA-OAA-17-000002. Late applications may not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- |               |                                        |
|---------------|----------------------------------------|
| (a) Section E | Application Review Information         |
| (b) Section D | Application and Submission Information |
| (c) Section A | Program Description                    |
| (d) Section B | Award Information                      |
| (e)           | This Cover Letter                      |

Thank you for your interest in USAID programs.

Sincerely,

  
Samantha L. Corey  
Agreement Officer  
Office of Acquisition & Assistance  
M/OAA/GH/POP

## Breakthrough-ACTION

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## ABBREVIATIONS AND ACRONYMS

|          |                                                                 |
|----------|-----------------------------------------------------------------|
| ADS      | Automated Directives System                                     |
| AFG      | AIDS-Free Generation                                            |
| AO       | Agreement Officer                                               |
| APR      | A Promise Renewed                                               |
| ARI      | Acute Respiratory Infection                                     |
| ART      | Antiretroviral Therapy                                          |
| ARV      | Antiretroviral                                                  |
| BMGF     | Bill and Melinda Gates Foundation                               |
| CA       | Cooperative Agreement                                           |
| C-Change | Communication for Change                                        |
| CDC      | Centers for Disease Control and Prevention                      |
| CFR      | Code of Federal Regulations                                     |
| CII      | Center for Accelerating Innovation and Impact                   |
| COI      | Conflicts of Interest                                           |
| DHS      | Demographic and Health Surveys                                  |
| DoD      | U.S. Department of Defense                                      |
| EPCMD    | Ending Preventable Child and Maternal Deaths                    |
| FA       | Fertility Awareness                                             |
| FACT     | Fertility Awareness for Community Transformation                |
| FP       | Family Planning                                                 |
| FP/RH    | Family Planning/Reproductive Health                             |
| FP2020   | Family Planning 2020                                            |
| GBV      | Gender-Based Violence                                           |
| GH       | Bureau for Global Health                                        |
| GHSA     | Global Health Security Agenda                                   |
| HC3      | Health Communication Capacity Collaborative                     |
| HCD      | Human-Centered Design                                           |
| HHS      | U.S. Department of Health and Human Services                    |
| HIV/AIDS | Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome |
| IAA      | Inter-Agency Agreement                                          |
| ICT      | Information and Communication Technology                        |
| IDIQ     | Indefinite Delivery Indefinite Quantity                         |
| IR       | Intermediate Result                                             |
| IRS      | Indoor Residual Spraying                                        |
| ITN      | Insecticide Treated Nets                                        |
| LMIC     | Low and Middle Income Countries                                 |
| LOE      | Level of Effort                                                 |
| MDG      | Millennium Development Goals                                    |
| MICS     | Multiple Indicator Cluster Surveys                              |
| MIS      | Malaria Indicator Surveys                                       |
| MNCH     | Maternal, Neonatal, and Child Health                            |

|           |                                                                     |
|-----------|---------------------------------------------------------------------|
| NGO       | Non-Governmental Organization                                       |
| NIH       | National Institutes of Health                                       |
| OHA       | Office of HIV/AIDS                                                  |
| PEPFAR    | U.S. President's Emergency Plan for AIDS Relief                     |
| PHARE     | Promoting Health – Adjusting the Reproductive Environment           |
| PMI       | U.S. President's Malaria Initiative                                 |
| PRH       | Office of Population and Reproductive Health                        |
| RBM       | Roll Back Malaria                                                   |
| RFA       | Request for Applications                                            |
| SBC       | Social and Behavior Change                                          |
| SBCC      | Social and Behavior Change Communication                            |
| SBST      | White House Social and Behavioral Sciences Team                     |
| SDG       | Sustainable Development Goals                                       |
| SIR       | Sub-Intermediate Result                                             |
| TA        | Technical Assistance                                                |
| TRANSFORM | Translating Effective Practices from Research, Marketing and Design |
| UN        | United Nations                                                      |
| UNAIDS    | United Nations Programme on HIV/AIDS                                |
| UNFPA     | United Nations Population Fund                                      |
| UNICEF    | United Nations Children's Fund                                      |
| USAID     | United States Agency for International Development                  |
| USDA      | U.S. Department of Agriculture                                      |
| USG       | United States Government                                            |
| VMMC      | Voluntary Male Medical Circumcision                                 |
| WASH      | Water, Sanitation and Hygiene                                       |
| WHO       | World Health Organization                                           |

## SECTION A: PROGRAM DESCRIPTION

### 1. Introduction

The United States Agency for International Development (USAID) plans to invest in a five-year cooperative agreement titled **Breakthrough-ACTION** to support countries in achieving desired improvements in health and development outcomes, including increasing the demand for family planning (FP) that is satisfied with modern contraception; ending preventable child and maternal deaths; achieving and maintaining an AIDS-free generation; and achieving a malaria-free world.

The project will be closely linked to, and coordinated with, its sister project, **Breakthrough-RESEARCH (RFA-OAA-17-000001)**. These projects together will comprise USAID's flagship investment in social and behavior change (SBC), providing global and country-level technical leadership in SBC advocacy, design, implementation, research, and evaluation. Both projects will contribute to the shared **purpose** of increasing the practice of priority health behaviors and enabling social norms for improved health and development outcomes.

Breakthrough-ACTION will build upon current USAID investment in SBC research and programming, including both global and bilateral projects, to simultaneously guide new learning and drive broader application of proven practices and tools in SBC. The project will fulfill a global leadership function that is desperately needed within SBC, working through a number of new and existing platforms to create opportunities for technical agenda-setting, learning, and collaboration; designing and implementing innovative and strategic SBC programs; and promoting agreed-upon priorities through its own programs and knowledge management efforts.

The shared **strategic objective** of the two BREAKTHROUGH projects is increased integration of proven SBC interventions in health and development programs, particularly health service delivery platforms. While focused primarily on health, the projects may address SBC needs in other sectors, with particular attention to areas of potential complementarity such as environmental conservation, agriculture, food security, and nutrition. Within the health sector, the projects will maintain a substantive focus on family planning and reproductive health (FP/RH); HIV/AIDS; malaria; and maternal, neonatal, and child health (MNCH), with attention to emerging pandemic threats and other infectious diseases as needed.

The following are shared **intermediate results** for the Breakthrough flagship SBC projects, Breakthrough-ACTION and Breakthrough-RESEARCH. Breakthrough-ACTION will directly contribute to IRs 1 and 2 (as indicated in bold text below):

**IR 1: Country-driven, high-quality SBC interventions implemented**

**IR 2: Coordinated global and country leadership mobilized to address priority SBC challenges**

IR 3: Evidence for impact, feasibility, and cost-benefit of SBC interventions applied

Breakthrough-ACTION will further contribute to the achievement of the following eight sub-intermediate results (SIRs) under IRs 1 and 2:



- SIR 1.1: Innovative and effective solutions to high-priority SBC challenges designed and implemented
- SIR 1.2: Improved SBC capacity demonstrated by host-country governments and local health and development program implementers
- SIR 1.3: Strategies applied for improved coordination and integration among SBC, service delivery and development program implementers
- SIR1.4: Rigorous monitoring and quality assurance tools and approaches applied to SBC interventions
- SIR 2.1: Multi-institutional platforms at global and regional levels leveraged to share and coordinate around SBC challenges
- SIR 2.2: Global, regional and country SBC programming and investment agendas created to address priority gaps and opportunities
- SIR 2.3: Investments in SBC programming leveraged
- SIR 2.4: SBC priorities and agendas diffused through new and existing platforms at the global, regional and country levels

This is a competitive RFA. However, Breakthrough-RESEARCH will likely conduct process, performance, or impact evaluations of Breakthrough-ACTION interventions. There is a conflict in evaluating work that the applicant also implemented; for this reason, Breakthrough-RESEARCH partners cannot evaluate Breakthrough-ACTION activities that they have designed or implemented. **Therefore, an organization cannot submit an application to both RFAs as a prime applicant. If it is discovered during the evaluation phase of the Breakthrough RFAs that an organization has applied as a prime applicant to both Breakthrough-ACTION and Breakthrough-RESEARCH, the applicant and applications will not be considered for either award. An organization may, however, respond to one of the Breakthrough RFAs as a prime applicant, and be included as a proposed sub-awardee in another organization's application to the other Breakthrough RFA.**

Post-award, when Breakthrough-RESEARCH receives a request to evaluate the work of Breakthrough-ACTION or another USAID project, the Recipient must determine if there are potential Conflicts of Interest (COI) due to partners/sub-awardees' roles on each project. If potential conflicts of interest are identified, the Recipient must submit a plan to demonstrate how these potential conflicts shall be mitigated. The mitigation plan must: 1) describe the potential conflict of interest; 2) describe the impact these conflicts could have on the Breakthrough-RESEARCH (or other USAID) agreement performance; and 3) describe the procedures that the Recipient would put into place that would resolve the COI. **Any conflicts as identified above will be determined and the mitigation plan approved, or not approved, by the Breakthrough-RESEARCH AO and the other project's AO/CO.**

### **Authorizing Legislation**

The authorizing legislation for this Cooperative Agreement is the Foreign Assistance Act of 1961, as Amended, and the award is subject to the 2 Code of Federal Regulations (CFR) 200 and 2 CFR 700—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The following are applicable for the administration of this award:

- For U.S. organizations, 2 CFR 200 and 2 CFR 700, and the Standard Provisions for U.S. Non-Governmental Recipients are applicable (ADS 303maa).
- For non-U.S. organizations, the Standard Provisions for Non-U.S. Non-Governmental Recipients will apply (ADS 303mab).

For the purposes of this RFA, the word ‘project’ refers to Breakthrough -ACTION.

USAID encourages and anticipates that applicants may indicate formal arrangements with partner organizations and with sub-awardees for implementing activities in their application.

## **2. Background**

### **Global Context**

SBC programming has long been an area of strategic priority for USAID. The Agency has invested heavily in social and behavior change communication (SBCC), an important SBC approach, for more than three decades, and remains one of the world’s leading funders of SBCC research and programming. More recently, USAID has begun to invest in SBC approaches that incorporate practices from other behavior change fields, such as behavioral economics, human-centered design, and marketing, into USAID-supported SBC research and programming. SBC has also garnered significant attention and increased investment from other major donors, including the Bill and Melinda Gates Foundation (BMGF) and United Nations (UN) Agencies. This sustained investment in SBC has supported the growth of a global community of SBC organizations and professionals, allowing for focused attention to - and significant progress against - priority behavioral challenges.

As the international community strives to end extreme poverty in the post-MDG (Millennium Development Goals) era, SBC is uniquely positioned to support the goals of Family Planning 2020 (FP2020), EPCMD, AFG, and A Malaria-Free World through sustained change to population-level norms and behaviors. SBC provides an opportunity to address health and development challenges that may not be amenable to supply-side interventions alone, shaping not only demand for, and correct use of, products and services, but also client-provider communication, couples’ communication, and engagement of community organizations, leaders, and members to change social norms and structures.

Recent years have seen significant changes in behavioral programming generally, and SBCC specifically. Widespread access to mobile phones and social media has transformed the communication landscape, enhancing interpersonal connectivity and speeding the spread of new ideas and norms. The number and types of institutions engaged in SBC - including international non-governmental organizations (NGOs), local NGOs, local and international creative agencies, and donors - has increased dramatically, introducing new ways of thinking about and describing behavioral programming. Newfound interest in behavioral economics, performance-based financing, and other approaches that impact individual behavior through attention to structural and environmental factors has contributed to the discussion of a range of SBC approaches, beyond SBCC. This changing landscape offers USAID an opportunity to utilize its longstanding expertise in SBC, leading donors, implementers, and partner governments in advancing the practice of SBC to support effective and rights-based health and development programming.

### **Operating Context (Relationship to USAID Initiatives and Other USAID Projects)**

USAID partners to end extreme global poverty and enable resilient, democratic societies while advancing our security and prosperity. As such, the Agency's vision of success is based on a multifaceted theory of change that recognizes the complex and bidirectional interplay between poverty and health outcomes. Key USAID health policies and initiatives, and global efforts, support the Agency's goal to end extreme poverty, including FP2020, the Ouagadougou Partnership, EPCMD, An AIDS Free Generation, A Malaria-Free World, the Global Health Security Agenda, the Gender Equality and Female Empowerment Policy, and the USAID Youth in Development Policy. These are described in further detail below.

### **Family Planning**

#### *USAID's FP rationale, FP2020 and the Ouagadougou Partnership*

At the global level, USAID's Office of Population and Reproductive Health (PRH) investments are guided by three interrelated rationales: 1) Individuals and couples have a right to choose the number, timing, and spacing of their children; 2) FP/RH programs improve women's and children's health; and 3) FP/RH programs benefit economic development, natural resource sustainability, and state stability through their effects on population size and age structure. In SBC, current areas of particular PRH investment and leadership include strengthening the capacity of host-country governments and cooperating agencies to implement high-quality, context-specific SBC programs; applying innovative practices drawn from commercial marketing and design to increase informed demand for family planning; developing scalable normative change interventions, with a focus on youth and gender; and aligning SBC and health services, with attention to provider behavior change.

FP2020 is an outcome of the 2012 London Summit on Family Planning, where more than 20 country governments made commitments to address the policy, financing, delivery, and socio-cultural barriers that prevent women from accessing contraceptive information, services, and supplies, and donors pledged an additional US\$2.6 billion in funding. Since the London Summit, the number of countries with FP2020 commitments has grown to 36 and, in 2014 alone, donors provided US \$1.4 billion in bilateral funding for FP. FP2020 aims to enable an additional 120 million women to use modern contraception by 2020.

The Ouagadougou Partnership, which was launched in February 2011 at a Regional Conference on Population, Development, and Family Planning held by the nine governments of Francophone West African countries, seeks to mobilize resources to accelerate progress in the use of FP in Benin, Burkina Faso, Côte d'Ivoire, Guinea, Mali, Mauritania, Niger, Senegal, and Togo. These countries, which represent a subset of the FP2020 focus countries, have some of the highest fertility rates in the world, and are characterized by pro-natalist cultures and limited access to FP services. Both FP2020 and the Ouagadougou Partnership recognize the need to improve demand creation and SBC in order to achieve the goals that have set by the international community for 2020. In the nine Ouagadougou Partnership countries, gap analyses of the countries' costed implementation plans has highlighted underinvestment in SBC and identified behavior change as a priority area for investment and programming. USAID has been a major contributor to these efforts at both the global and country levels.

## **Maternal, Neonatal, and Child Health**

### ***EPCMD***

In June 2012, the Governments of Ethiopia, India, and the United States, in conjunction with the United Nations Children’s Fund (UNICEF), joined together to host a child survival “Call to Action” event. The Call joined governments, civil society, and faith-based organizations to accelerate actions to end preventable child deaths in a generation. USAID’s strategic investments in child health following the Call, more commonly referred to as “A Promise Renewed (APR),” aim to contribute to achievement of a reduction in under-five child deaths to fewer than 20 deaths per 1,000 live births by 2035. USAID expanded this goal to include ending preventable child and maternal deaths (EPCMD) in a generation, and the Agency continues to support achievement of fewer than 50 maternal deaths per 100,000 live births by 2035. To fulfill its commitments to APR and the broader goal of EPCMD, USAID is working with 25 priority countries<sup>1</sup> to release action plans, which delineate how the Agency will realign programs, and call on other donors and actors to align their investments with country-owned plans that focus on delivering results for the most vulnerable families in the most vulnerable communities. Within these countries, USAID has committed to increasing its efforts in newborn health, immunization, and prevention and treatment of childhood illnesses, as well as expanding access to life-saving commodities for FP, maternal health, newborn health, and child health. Several of the priority interventions to reduce preventable child and maternal deaths (as identified in the Acting on the Call reports<sup>2</sup>) are behavioral or include social and behavioral components.

In June 2013, USAID and UNICEF led a Population-Level Behavior Change Evidence Summit for Child Survival and Development. The programmatic findings of this Summit influenced the development of several USAID programming efforts, including the identification of ten EPCMD “accelerator behaviors;”<sup>3</sup> the award of ACCELERATE - a project to assist USAID Missions in incorporating high-quality accelerator behavior programming into their health portfolios; and a partnership with the Peace Corps to help volunteers in EPCMD countries incorporate accelerator behaviors into their community-level work. The significant research gaps, and issues with the quality of evidence, discovered through the Evidence Summit process also inspired a World Health Organization (WHO)-led partnership that includes USAID, UNICEF, United Nations Population Fund (UNFPA), BMGF, the National Institutes of Health (NIH), the Norwegian Agency for Development Cooperation (NORAD), and the Norwegian Institute of Public Health. This partnership is working to improve the building, reporting, assessment, and application of the evidence base for SBC interventions for reproductive, maternal, newborn, child, and adolescent health.

## **HIV/AIDS**

### ***The U.S. President’s Emergency Plan for AIDS Relief (PEPFAR) and AFG***

The United States Government (USG) is leading other donors and governments to coalesce around its ambitious goal of controlling the HIV epidemic and achieving an AIDS-Free Generation. The U.S. President’s Emergency Plan for AIDS Relief (PEPFAR) is the U.S. government’s initiative to help save the lives of those infected and affected by HIV/AIDS around

<sup>1</sup> <https://www.usaid.gov/what-we-do/global-health/maternal-and-child-health/priority-countries>

<sup>2</sup> Latest report available here: <https://www.usaid.gov/what-we-do/global-health/acting-call-ending-preventable-child-and-maternal-deaths-report>

<sup>3</sup> <https://www.usaid.gov/sites/default/files/documents/1864/The-Behavior-Change-Framework.pdf>

the world. This historic commitment is the largest by any nation to combat a single disease internationally, and PEPFAR investments also help alleviate suffering from other co-occurring diseases and conditions. PEPFAR seeks to achieve An AIDS-Free Generation through accelerating core interventions for epidemic control, with particular emphasis on impact; efficiency; sustainability; partnership; and human rights. In 2014, the Joint United Nations Programme on HIV/AIDS (UNAIDS) put forth the 90-90-90 targets proposing that by 2020 90% of all people living with HIV should know their HIV status; 90% of all people with a diagnosed HIV infection should receive sustained antiretroviral therapy (ARTs); and 90% of all people receiving antiretroviral therapy should be virally suppressed. PEPFAR has endorsed these targets.

Achieving the 90-90-90 targets will require effectively addressing related social and behavioral factors such as uptake of HIV clinical services, retention in the clinical cascade, and adherence to HIV treatment, in addition to the practice of risk reduction behaviors. Areas of particular interest within PEPFAR include: targeted HIV testing uptake among high-risk, hard-to-reach populations; proven community-based approaches for improved HIV treatment retention and adherence supporting multi-month scripting of ARVs; and demand for voluntary male medical circumcision (VMMC) among 15-29 year olds in priority VMMC countries. USAID's Office of HIV/AIDS (OHA), in particular, has focused its SBC investments in the strengthening of evidence for high-quality SBC approaches for high-risk, hard-to-reach populations; innovative use of proven behavior change approaches from diverse disciplines including a blend of SBCC and structural interventions; and normative change interventions demonstrating impact on key desired behaviors as well as shifts in social norms.

## **Malaria**

### *The U.S. President's Malaria Initiative (PMI)*

The fight against malaria has yielded dramatic progress over the last 10–15 years. The WHO estimates that the scale-up of malaria control interventions between 2001 and 2013 resulted in an estimated 4.3 million fewer malaria deaths. These impressive results – particularly in sub-Saharan Africa – are due to a massive scale-up of malaria prevention and case management measures resulting from the combined efforts of national malaria control programs, a broad range of partners, and the launch of three major initiatives: the Global Fund to Fight AIDS, Tuberculosis and Malaria in 2002; The World Bank Malaria Booster Program in 2004; and PMI in 2005. These successes have prompted shifts in the goals and targets of many partners in the global malaria community, including the BMGF, the Roll Back Malaria (RBM) Partnership, and the WHO.

The PMI Strategy (2015– 2020) takes into account the progress over the past decade and the new challenges that have arisen, setting forth a vision, goal, objectives, and strategic approach for PMI through 2020. Malaria prevention and control remains a major U.S. foreign assistance objective, and this strategy fully aligns with the U.S. Government's vision of EPCMD and ending extreme poverty. It is also in line with the goals articulated in the RBM Partnership's *Action and Investment to Defeat Malaria 2016-2030: For a Malaria-Free World* and WHO's *Global Technical Strategy for Malaria 2016-2030*. Furthermore, the U.S. Government shares the long-term vision of affected countries and global partners of a world without malaria. This vision will require sustained, long-term efforts to drive down malaria transmission and reduce

malaria deaths and illnesses, leading to country-by-country elimination and eventual eradication by 2040–2050. The U.S. Government’s goal is to work with PMI-supported countries and partners to further reduce malaria deaths and substantially decrease malaria morbidity, toward the long-term goal of elimination. Achievement of the goal and objectives outlined in the PMI Strategy 2015-2020 will require coordinated and innovative behavioral programming to promote and achieve universal use of current and emerging malaria interventions including, but not limited to, insecticide treated nets (ITNs), indoor residual spraying (IRS), intermittent preventive treatment of malaria in pregnancy, malaria case management, and seasonal malaria chemoprevention.

## **Other Infectious Diseases**

### *The Global Health Security Agenda (GHSA)*

USAID has provided support for emerging infectious diseases of pandemic potential such as highly pathogenic avian influenza A/H5N1, H1N1, Ebola Virus Disease, and Zika. Emerging health threats such as these have demonstrated an ability to arise on any continent at any time, and further burden already strained health systems. Experience from recent outbreaks has shown the need for prompt, evidence-based control efforts in order to mitigate negative regional and global public health impact.

The [Global Health Security Agenda](#) (GHSA) was launched in February 2014 to advance a world safe and secure from infectious disease threats, to bring together nations from all over the world to make new, concrete commitments to preventing and responding to pandemic threats, and to elevate global health security to a priority at the national leadership level. USAID, along with other USG partners (U.S. Department of Health and Human Services (HHS), Centers for Disease Control and Prevention (CDC), U.S. Department of Defense (DoD), U.S. Department of Agriculture (USDA)), works with Ministries of Health, Agriculture, Environment and other key stakeholders to detect viruses with pandemic potential, improve laboratory capacity to support surveillance, strengthen national and local capacities to respond in an appropriate and timely manner, and provide education on ways to prevent exposure to dangerous pathogens. In July 2015, the U.S. Government announced its intent to invest more than \$1 billion to expand the GHSA in order to prevent, detect and respond to future infectious disease outbreaks. The GHSA effort addresses all potential infectious disease threats, whether they are naturally occurring, intentional or an act of bioterrorism. Among the effort’s essential components are laboratory systems, disease surveillance, emergency response and workforce development. A key component is expanding capacities and approaches to “one health,” acknowledging that the health of animals, humans and the environment are inextricably linked. USAID’s experience in the area of emerging pandemic threats, including the Agency’s responses to the 2015-2016 Ebola epidemic in the Mano River region and the 2016 Zika epidemic in Latin America and the Caribbean, have underscored the importance of social norms and health-seeking behaviors in preventing the spread of infectious disease, particularly in the absence of effective treatment.

## **Cross-Cutting Priorities**

### *Gender Equality and Female Empowerment*

The Agency’s Gender Equality and Female Empowerment Policy cuts across all development objectives and programs, including the health initiatives cited above as well as Breakthrough-ACTION and Breakthrough-RESEARCH. Achievement of the policy’s objectives -- reduce

gender disparities in access to, control over, and benefits from resources, wealth, opportunities, and services; reduce gender-based violence (GBV) and mitigate its harmful effects on individuals; and increase the capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies -- contribute to an enabling environment in which women and men and boys and girls can more easily adopt healthier behaviors and use health services.

### *Youth*

An enhanced focus on adolescents and youth is vital to USAID's ability to achieve its global health goals of an AFG and EPCMD. HIV and pregnancy related complications remain major causes of death among youth worldwide and globally, adolescent mortality rates have remained virtually unchanged over the past 50 years. USAID's Youth in Development Policy's (2012) goal is: to improve the capacities and enable the aspirations of youth so that they can contribute to and benefit from more stable, democratic and prosperous communities and nations. The Policy defines youth as individuals between the ages of 10-29 years and acknowledges that a range of investments and programs are needed from all development sectors, including those that ensure the health and wellbeing of youth. Adolescence and young adulthood are critical periods for establishment of both social norms and behavioral patterns to continue into adulthood and influence health, education, and economic security across the lifespan. For this reason, young people remain a critical priority audience for many SBC interventions – and behavior change is central to many youth programs across the health and development sectors.

### **USAID Bureau for Global Health (GH) Investments in SBC**

USAID's Bureau for Global Health has invested heavily in SBC for more than three decades. Much of this investment has focused on improving health behaviors pertaining to FP/RH, HIV/AIDS, MNCH, malaria, nutrition, and water and sanitation (WASH). Less frequently, SBC has been used to combat emerging pandemic threats such as H1N1, Ebola, and Zika through focused risk communication, preparedness, and post-epidemic recovery. In recent years, USAID has also begun to integrate non-health development sectors, such as agriculture and environment, into its SBC programming in an effort to increase behavioral impact while leveraging pre-existing social and programmatic structures. Cross-cutting areas such as gender and youth have also been a focus across health-sector programming.

SBC projects under the Bureau for Global Health's portfolio have varied in size and scope. Since 1982, USAID has invested in global flagship projects for SBC, including Population Communication Services (1982-2002), the Health Communication Partnership (2002-2007), Communication for Change (C-Change) (2007-2012), and the Health Communication Capacity Collaborative (HC3) (2012-2017). The current flagship project, the Health Communication Capacity Collaborative (HC3), is mandated to provide technical leadership, capacity strengthening, and research for SBCC programming, while fostering vibrant communities of practice that support improved evidence-based programming and continued innovation. HC3 is characterized by a strong focus on implementation science, emphasizing rigorous evaluation, documentation, and diffusion of effective practices. The project works in more than 25 countries across Africa, Asia, the Middle East, and Latin America. Results achieved through HC3 include: SBCC leadership for the international Ebola response, including research, coordination, and support to governments; SBCC leadership for the UN Commission on Life-Saving Commodities

for Women and Children, including the development of a model for adaptable SBCC strategies; documented SBCC evidence across the HIV cascade, in both journals and an online evidence database; groundbreaking research on SBCC capacity strengthening; and a first-ever global SBCC Summit. The project has also developed two important knowledge management resources, which USAID intends to continue supporting through Breakthrough-ACTION: the Springboard, an online networking and sharing resource that supports and nurtures global-, regional-, and country-level SBCC communities of practice (<https://healthcomspringboard.org/>), and the Health COMpass, a curated, interactive online materials repository (<http://www.thehealthcompass.org/>). Further information on HC3 is available publicly on the project website, as well as from the project's midterm evaluation report.

### **Breakthrough-ACTION Stakeholders**

The Breakthrough projects will set the standard for quality programming in SBC, documenting and promoting best practices to a broad range of stakeholders at the global, regional, and country levels. It is expected that the Breakthrough projects will leverage existing platforms (i.e., the Springboard and Health COMpass) and multi-agency working groups to help facilitate these partner relationships.

***Bureau for Global Health:*** Breakthrough-ACTION will be managed centrally by the Bureau for Global Health. It is expected that 17% of project funds will originate in the technical offices of the Bureau. Core funds will likely be used to support global and regional technical events; provide multi-site or multi-country program design or implementation; develop or trial innovative SBC practices and interventions, including those that address gender and other cross-cutting issues; develop or apply specialized capacity strengthening resources; and conduct high quality knowledge management, in addition to executing high priority technical leadership activities as needed, specific to cross-cutting issues (e.g., gender, youth) and each contributing health area. An expanded management team including advisors from the Bureau's Office of Population and Reproductive Health; Office of Maternal and Child Health and Nutrition (MCHN); Office of Infectious Disease (ID); and HIV/AIDS will provide technical, financial, and administrative oversight of the project. This team will regularly communicate with Breakthrough-ACTION leadership, including providing strategic guidance and review of project outputs. See Section B of this RFA for more information about management of this project.

***USAID Missions:*** Missions represent a key stakeholder for the project. It is expected that 83% of Breakthrough-ACTION's funding will originate in Missions. These funds will likely support multi-year, national-level SBC programs, as well as shorter-term initiatives. Breakthrough-ACTION will engage with Mission staff actively, through both the project management team at USAID Washington and other mutually agreed upon strategies. The USAID Washington management team will facilitate and approve field buy-ins as well as provide oversight on all field activities. The Missions will coordinate with the AOR on direct day-to-day management oversight of Mission buy-ins.

***Breakthrough-RESEARCH:*** Breakthrough-ACTION and Breakthrough-RESEARCH will work together to achieve their shared purpose and strategic objective. The USAID Washington management team will closely facilitate and oversee this integral partnership. The sister projects may be funded to jointly design and/or implement certain activities and are expected to establish



a strong, collaborative model of engagement, including regular meetings to advance their shared work. In particular, it is anticipated that Breakthrough-ACTION and Breakthrough-RESEARCH will work together on: leveraging multi-institutional platforms to develop SBC programming, investment, and research agendas (Sub-IRs 2.1, 2.2, and 3.1); dissemination and use of SBC evidence and learning (Sub-IRs 3.3 and 3.4); and shared overall knowledge management. To achieve maximum coordination and synergies across the two projects, it is suggested that each project dedicate funded staff time to coordination activities. Please see specific language above in Section A.1 Introduction regarding applying to the two Breakthrough RFAs.

***USAID Global Health Projects Active in SBC:*** The Bureau for Global Health has a large portfolio of projects with substantial SBC components, many (but not all) of which are headquartered in the Washington, DC metropolitan area. In general, these projects are both smaller in size and narrower in focus than the SBC flagship projects, focusing on a single health area, audience, and/or programmatic approach. Breakthrough-ACTION and Breakthrough-RESEARCH will serve to link and coordinate these diverse SBC investments across health element portfolios and to disseminate key learnings and outputs of these investments through communities of practice, online knowledge management, and other channels. Breakthrough-ACTION should also leverage and build upon other GH projects that focus on specific aspects of SBC interventions and research. These projects and initiatives are further described in Annex A of the RFA. Additional information on USAID GH SBC priorities and investments can be found at <https://www.usaid.gov/what-we-do/global-health/cross-cutting-areas/social-and-behavior-change>.

***Local and International Organizations Active in SBC:*** USAID and other donors collaborate with many local and international organizations that are active in the field of SBC. These partners include small non-governmental and community-based organizations, businesses, governments, international organizations, and academic institutions. Some of these organizations are themselves expert in SBC or other behavior change disciplines, while others have more limited experience and capacity. USAID expects that Breakthrough-ACTION will actively and continuously engage these partners, ensuring effective experience-sharing and exploitation of programmatic synergies.

***USAID Service Delivery Projects:*** USAID invests heavily in health service delivery, both through core-funded central projects and bilateral mechanisms. The Bureau for Global Health increasingly recognizes and emphasizes the importance of close alignment of SBC and service delivery across all health areas. In order to successfully achieve their shared purpose and strategic objective, the Breakthrough projects must be intimately familiar with key tenets and objectives of USAID-supported service delivery programming in FP/RH, HIV/AIDS, MNCH, and malaria, including both major strategic priorities and key implementing partners, and must understand how high-quality SBC may best contribute to, and complement, service delivery.

***USG Agencies, Multilateral Organizations, & Donors:*** USAID encourages the Breakthrough projects to engage other USG agencies, multilateral organizations, and donors active in SBC in the interest of strategic coordination and harmonization of efforts. At a minimum, Breakthrough-ACTION will engage UNFPA, DFID, UNICEF, BMGF, WHO, and the World Bank, which

together fund the large majority of internationally-supported SBC efforts in many parts of Africa and Asia. Please see key global initiatives mentioned in previous sections.

### **Priority Challenges in SBC**

The following priority challenges continue to evolve rapidly and require intensive focus by the SBC community as a whole in order to achieve population-level social and behavior change that measurably improves global health outcomes.

- ***Attention to patterns in the adoption, practice, or maintenance of different behaviors that may facilitate integration or adaptation of SBC interventions.***

Health behaviors vary widely in how often they must be enacted; by whom; at what financial, logistical, or social cost; and with what interpersonal agreement or support. In some cases, two behaviors from divergent health areas may be more similar to each other than either is to other behaviors in their respective health area, in part because the same factors (e.g., gender norms and inequality) shape the behavior. Analyzing differences and similarities across different behavioral typologies offers potential for improved impact and cost-effectiveness in SBC programming.

- ***Identification and dissemination of best practices in strategic SBC integration.***

SBC strategies that address multiple behaviors across health areas and/or sectors are of increasing importance. This includes addressing “co-occurring” health outcomes (behaviors and/or health conditions that tend to occur together, such as HIV/AIDS and tuberculosis), as well as health outcomes influenced by the same determinant (such as FP and HIV outcomes and gender norms). While such approaches are believed to offer opportunities for both heightened impact and economies of scale in programming, there is little evidence supporting these assumptions or understanding of best practices in their design, implementation, or monitoring.

- ***Strategies for increasing utilization of health services, including strengthened coordination between SBC and service delivery and improved behavior change efforts by service delivery implementers.***

Increasing appropriate utilization of health services requires expanding provision and quality of services from service providers while simultaneously stimulating or maintaining demand from the clients. USAID supports a range of implementing partners in developing and testing strategies for strengthening “service communication” by improving linkages between SBC and service delivery partners and enhancing the quality of behavior change interventions implemented by service delivery organizations. This work considers how to effectively integrate SBC at three stages of the service delivery process: (a) before the provider-client interaction (creating demand); (b) during the provider-client interaction (improving the client experience); and (c) after the provider-client interaction (boosting behavioral initiation and maintenance). Changing behaviors of health providers through attention to their knowledge and skills, normative and attitudinal factors, and supportive supervision is of particular importance, as it offers opportunities to improve the quality of client-provider interactions and, ultimately, client satisfaction and behavior change.

- ***Identification, trialing, and promotion of effective, innovative practices in SBC research and programming.***

To advance the SBC field, USAID, its partners, and the broader SBC community continue to prioritize practices that allow for improved efficiency or behavioral impact in a variety of settings and contexts. Such practices may be truly “new,” or reflect the merging or adaptation of existing practices. The SBC community of practice has been challenged to proactively seek out and test emerging and proven approaches in SBC and establish mechanisms that support ongoing innovation in the field of SBC. Engaging leading practitioners from fields such as advertising, behavioral economics, human-centered design (HCD), and information and communication technology (ICT) allows practitioners to identify or develop promising SBC research, monitoring, and evaluation practices that may be tested, documented, and disseminated.

- ***Application of proven community group engagement interventions.***

Global leaders continue to prioritize actions to advance social norms and rights that support better health and quality of life for all. Evidence and experience show that meaningful community engagement and dialogue can expand an enabling environment for the practice of health behaviors, particularly in the context of inequitable gender norms, and among vulnerable or marginalized populations. Nevertheless, evidence of impact has not resulted in large-scale investment in community group engagement approaches, largely due to questions around scalability and presumed costs associated with sustaining investments in programs perceived to be intensive and complicated.

- ***Application of a life-stage perspective in SBC design.***

SBC practitioners increasingly recognize the importance of life-stage perspectives in intervention design, implementation and evaluation. These perspectives recognize the changing needs and desires of an individual across his/her lifespan, with particular attention to how developmental changes and life events or transitions shape health behaviors. Such perspectives also allow for fine-grained audience segmentation and profiling, and offer innovative entry points for communicating with priority audiences. When applied in conjunction with health service promotion or branding, life-stage perspectives have the potential to shift gender and social norms around key behaviors, especially treatment-seeking, and support establishment of a lifelong relationship between individuals, families, communities, and the health services that support them.<sup>4</sup>

- ***Use of innovative and audience-appropriate approaches to information-sharing and knowledge management.***

The availability, accessibility, and utilization of SBC knowledge, information, and research by implementers and donors is required to ensure high-quality, evidence-based SBC programming. USAID and its partners continue to facilitate information exchange and use among key SBC audiences by employing robust knowledge management practices to bring global expertise to the country level and by connecting local expertise and experiential knowledge to a global audience. The SBC field is constantly challenged to focus both on expanding existing tools, resources, repositories and their audiences, and on developing new tools, resources, and repositories as needed.

- ***Prioritizing scale in SBC design and implementation.***

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<sup>4</sup> [http://www.popcouncil.org/uploads/pdfs/TABriefs/37\\_VeryYoungAdolescents.pdf](http://www.popcouncil.org/uploads/pdfs/TABriefs/37_VeryYoungAdolescents.pdf)

Maximizing impact and cost-benefit in SBC programming requires consistent attention to questions of scale, here defined as reaching the proportion of primary and secondary audiences required to achieve and sustain population-level behavior change within target populations. To prioritize scale up of SBC interventions, USAID and its partners are consistently challenged to support effective expansion of priority interventions (as defined by the SBC community of practice).

- ***Capacity strengthening to support sustained, locally driven SBC at the country level.*** Achieving long-term changes in population-level behaviors requires ongoing, locally driven SBC programming. In many countries, this will necessitate further elevating the field of SBC to ensure adequate public and private sector investment; developing the technical and operational capacity of high-performing indigenous SBC organizations; and creating or supporting existing mechanisms for ongoing academic and professional training.

### **3. Purpose and Rationale for the Proposed Project**

The purpose of the Breakthrough-ACTION project is to increase the practice of priority health behaviors and enabling social norms, including gender norms, for improved health and development outcomes, with an emphasis on improving FP/RH, HIV/AIDS, MNCH, and malaria health outcomes. This purpose will be achieved through the integration of proven SBC interventions in health and development programs worldwide. Breakthrough-ACTION will closely coordinate with its sister project, Breakthrough-RESEARCH, to achieve this shared purpose through complementary efforts. Specifically: Breakthrough-RESEARCH will work to disseminate and advance research around SBC technical areas and interventions in which existing evidence is considered insufficient, while Breakthrough-ACTION will work to increase coverage of, and innovate based on, investments in SBC programming that already have significant evidence.

Breakthrough-ACTION will build upon USAID investment in SBC research and programming, including both global and bilateral projects, to simultaneously guide new learning and drive broad application of proven practices and tools. It will engage a broad range of health and development stakeholders, supporting them in developing, promoting, and operationalizing a visionary, consensus-driven agenda for social and behavior change that contributes to measurable global health impact. While USAID recognizes SBCC as the cornerstone of its SBC investments to date, it encourages applicants to consider the use of structural and environmental interventions, and to draw upon fields such as behavioral economics, human-centered design, social capital, and social psychology in designing effective solutions to social and behavioral challenges.

#### **Rationale for the Proposed Project**

Over the past decade, the evidence base around communication-based approaches to SBC has grown substantially. There is now a clear consensus that SBCC, when linked to other interventions, can produce changes in key health-related behaviors, including FP use, uptake of HIV counseling and testing, condom use, bed-net use, and handwashing<sup>5</sup>. While USAID has

<sup>5</sup> Noar, Seth M. "A 10-Year Retrospective of Research in Health Mass Media Campaigns: Where Do We Go From Here?" *Journal of Communication*. 11:21-42, 2006.

begun to invest in evaluation of emergent, non-communication-based approaches to SBC through the Transform project, collaboration with the White House Social and Behavioral Sciences Team (please see Annex A for more information on this project and collaboration), and other initiatives, the impact of such interventions and their application in the context of more traditional health and behavior change programming remains largely unknown.

Investments by USAID and other donors have contributed to the development of several robust implementation frameworks, such as Johns Hopkins University Center for Communication Programs' "P-Process"<sup>6</sup> and FHI360's "C-Cycle,"<sup>7</sup> that are widely used by both international and local partners. Multiple evaluations of SBC activities in a variety of settings have helped implementers understand programmatic determinants of success, including use of formative research; grounding in behavioral theory; clear audience segmentation; continued engagement of audience members in design and implementation; and use of multiple channels to communicate mutually reinforcing messages<sup>8</sup>. Encouragingly, emerging research also indicates that the intended impact of health communication programs has increased over time, suggesting effective application of lessons learned<sup>9</sup>.

Despite important gains in health behavior change, however, research and anecdotal evidence suggest that SBC programming has been hindered by a lack of current and actionable evidence; inconsistent application of best practices; insufficient investment to support implementation of proven interventions at scale; and over-reliance on a limited toolkit of interventions. Lack of systematic exchange across health elements and development sectors has contributed to all of these challenges.

SBC's potential to accelerate the achievement of the ambitious health and development goals of the international donor community hinges on three critical factors: 1) consistent application of high quality, evidence-based technical standards in SBC design; 2) strong monitoring and evaluation of SBC strategies to continue learning and building evidence for SBC interventions; and 3) coordinated policy support and financial investments by donors, host country governments, civil society, and the private sector to create opportunities for program innovation and effective SBC interventions at scale. Despite widespread consensus within the SBC community around these priority factors, how best to address them remains unclear; USAID seeks creative and technically sound leadership from Applicants in proposing best-odds solutions to these critical factors as well as ongoing priority SBC challenges.

#### **4. Statement of Expected Results**

The project will maintain a clear focus on achieving measurable change in priority health and development behaviors. In health, these behaviors will include those posited to offer the greatest impact upon health outcomes, such as the EPCMD accelerator behaviors (please see

<sup>6</sup> <http://www.thehealthcompass.org/sbcc-tools/p-process>

<sup>7</sup> <https://www.c-changeprogram.org/>

<sup>8</sup> Noar, 2006.

<sup>9</sup> Snyders, Leslie, et al. "Effectiveness of Media Interventions to Prevent HIV Transmission, 1986-2006: A Meta-Analysis." [https://www.researchgate.net/publication/266897293\\_Effectiveness\\_of\\_media\\_interventions\\_to\\_prevent\\_HIV\\_1986-2006\\_A\\_meta-analysis](https://www.researchgate.net/publication/266897293_Effectiveness_of_media_interventions_to_prevent_HIV_1986-2006_A_meta-analysis)

<http://acceleratorbehaviors.org/index>). The project is expected to contribute to shifts in priority behaviors and enabling social norms including, but not limited to:

- delay of first birth to age 18 through delay of marriage and/or use of modern contraceptive methods among sexually active adolescent girls and boys;
- use of modern contraceptive methods by women and men of reproductive age;
- uptake of voluntary medical male circumcision (VMMC) among males 15-29 years of age;
- targeted uptake of HIV counseling and testing among high-risk, hard-to-reach- priority populations and initiation of antiretroviral treatment following the test-and-start model;<sup>10</sup>
- consistent condom use and reduction of multiple sexual partners by sexually active youth, men and women;
- correct and consistent use of insecticide-treated nets by children under five and pregnant women;
- adherence to malaria case management guidelines for diagnosis and treatment by providers;
- attendance to four antenatal care visits and delivery at a facility by pregnant women;
- breastfeeding within one hour after delivery and exclusively for six months after birth;
- prompt and appropriate care for signs and symptoms of acute respiratory infection (ARI) by caregivers; and
- provision of appropriate treatment for children with diarrhea at onset of symptoms by caregivers.

In addition to these behaviors, the Recipient is expected to generate and synthesize evidence on “gateway behaviors” that offer potential to impact outcomes in one or more health and development areas. Such factors include couples’ communication and shared decision making, health-seeking behaviors, and health provider behaviors in counseling and treating clients, together with associated norms pertaining to gender equity, sexuality, and household decision-making. Investigations of social and structural factors should be practical and linked to means to improve health-related behaviors and relevant health outcomes.

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<sup>10</sup> <http://www.pepfar.gov/documents/organization/252263.pdf>

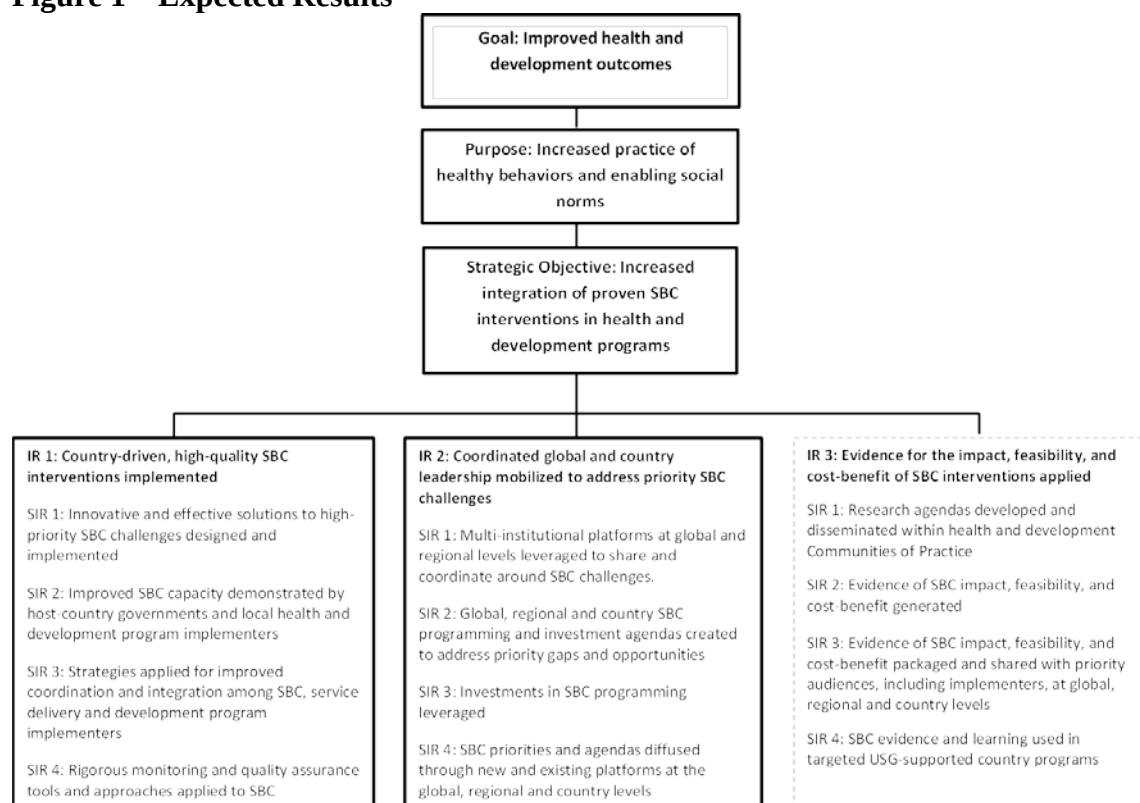
**Figure 1 – Expected Results**

Figure 1 depicts the combined Results Framework for the projects Breakthrough-ACTION and Breakthrough-RESEARCH, which are expected to function in close collaboration across the life of both mechanisms in order to effectively contribute to achievement of higher-order results. While the projects are complementary and will jointly contribute to a common strategic objective, Breakthrough-ACTION is primarily responsible for achieving Intermediate Results 1 and 2. For the detailed description of IR1, IR2, and Sub-Intermediate Results of IR1 and IR2, please see below:

### **IR 1: Country-driven, high-quality SBC interventions implemented**

The project will improve both the quality and coverage of SBC interventions in USAID priority countries, through direct implementation of activities and targeted support to a range of decision-makers and implementers. Project activities should identify and demonstrate consistent application of best practices in SBC research, design, implementation, monitoring, and evaluation, as well as innovation that moves the SBC field forward. Capacity strengthening activities will support a wide range of SBC practitioners and organizations using new and existing tools. To the greatest extent possible, the project will facilitate exchange and learning across health areas and development sectors. Activities under IR1 will emphasize rapid, robust, and programmatically useful monitoring, concept- and pre-testing, and formative research, while operations research and evaluation will be addressed primarily through Breakthrough-RESEARCH.

The four sub-intermediate results under IR 1 are:

- SIR 1.1: Innovative and effective solutions to high-priority SBC challenges designed and implemented
- SIR 1.2: Improved SBC capacity demonstrated by host-country governments and local health and development program implementers
- SIR 1.3: Strategies applied for improved coordination and integration among SBC, service delivery, and development program implementers
- SIR1.4: Rigorous monitoring and quality assurance tools and approaches applied to SBC interventions

**SIR 1.1: Innovative and effective solutions to high-priority SBC challenges designed and implemented**

Breakthrough-ACTION will design, implement, monitor, and evaluate high-quality, effective SBC interventions. Such interventions may be comprehensive, multi-year national programs; intensive programming in response to emerging pandemic threats or natural disasters; or narrowly-focused, term-limited efforts to enhance the impact of a pre-existing program. It is expected that the project will employ research and design approaches that support development of innovative and effective solutions to needs among primary and secondary audiences, resulting in programs that are context-specific and impactful.

*Illustrative areas of work:*

- Designing and implementing national or sub-national SBC interventions tailored to cultural context and health situation, with clear application of best practices.
- Supporting host country governments and local and international service delivery organizations in designing and implementing complementary SBC interventions.
- Designing and implementing innovative SBC interventions that address gender and social norms or gender inequalities and related behaviors.

**SIR 1.2: Improved SBC capacity demonstrated by host-country governments and local health and development program implementers**

The project will build upon work conducted through central mechanisms such as HC3, C-Change, and the New Partners' Initiative -- as well as USAID's bilateral projects -- to strengthen capacity of governments and local partners in managing, designing, implementing, monitoring, and evaluating high-quality SBC interventions. Capacity strengthening will be integrated in the design and implementation of strategic behavior change interventions to maximize opportunities for applied learning. Support may be provided to a range of partners, including service delivery, civil society organizations, and host country governments. The project will employ innovative and effective approaches to monitor and evaluate its capacity strengthening activities, apply learning to advance SBC capacity strengthening practice, and include capacity strengthening as a critical element of sustainable SBC programming.

*Illustrative areas of work:*

- Strengthening SBC technical working groups' abilities to coordinate SBC activities, and monitor results and adherence to national SBC strategies and priorities.



- Supporting and promoting existing virtual platforms for SBC capacity strengthening, including the Health COMpass materials database, the Springboard learning and networking site, and the HC3 online implementation kits.
- Collaborating with donors, multilateral organizations, host country governments, and implementing partners to support application of emerging SBC approaches such as behavioral economics and human-centered design; innovative monitoring and evaluation of SBC; best practices in integrated (cross-health area or cross-sectoral) SBCC interventions; and SBC capacity development strategies for institutions and individuals.

### **SIR 1.3 Strategies applied for improved coordination and integration among SBC, service delivery, and development program implementers**

The project will work closely with USAID Washington, Missions, and central and bilateral service delivery and SBC projects to develop and apply strategies for improved alignment between SBC and service delivery. Such support may address a range of different needs, including coordination between service delivery and SBC partners; design and implementation of high-quality SBC by service delivery partners; and provider behavior change interventions. Breakthrough-ACTION will work closely with a range of service delivery partners - including those active in the public, social marketing, and private sectors - to ensure high-quality, effective responsive SBC approaches are used systematically in USAID-supported projects.

#### *Illustrative areas of work:*

- Supporting host country governments and civil society partners to improve coordination among SBC and service delivery partners and promote timely and appropriate use of key services and behaviors.
- 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.
- Developing behavior change materials and tools for providers that raise awareness of gender and rights-based issues in service provision, and move providers away from didactic counseling and interactions with clients and toward informed decision making by -- and increased satisfaction of -- clients.

### **SIR 1.4: Rigorous monitoring and quality assurance tools and approaches applied to SBC interventions**

The project will work closely with USAID Missions and central and bilateral health and development projects to design and apply tools and approaches for rigorous SBC program monitoring to ensure the same diligence applied to the design of SBC programs and interventions is employed over the course of implementation. Comprehensive SBC monitoring will encompass quality assurance/continuous quality improvement approaches as a means to assess the effectiveness of SBC interventions on an ongoing basis. Innovative tools to gather real-time data and facilitate the course-correcting of interventions will be designed, implemented, tested, and disseminated to strengthen quality-assurance of SBC programs as a standard practice and to facilitate the collection of outcome indicators in the absence of a formal SBC evaluation.

*Illustrative areas of work:*

- Developing a suite of quality assurance/continuous quality improvement tools and recommended approaches to be used by host-country governments and implementing partners, with attention to the implementation of quality interventions at scale.
- Developing, applying, and documenting innovative approaches to monitor SBC interventions in real-time, including means to assess the effectiveness of SBC interventions and programs, using information technology.
- Facilitating the exchange of best and promising monitoring practices across countries through documented case studies, webinars and a spotlight on quality assurance through Springboard and Health COMpass.

**IR 2: Coordinated global and country leadership mobilized to address priority SBC challenges**

The project will support one or more identified global leaders in SBC, such as a multilateral organization or donor, in convening a broad range of stakeholders to develop, advocate for, and promote shared agendas for SBC programming and investment. This SBC programming and investment agenda will provide a strategic framework within which this project and other implementers may prioritize SBC interventions (IR1), and will support identification and diffusion of priorities and best practices; mapping and coordination of efforts; and targeted use of investments. The project will proactively engage with or lead existing SBC and health-area communities of practice at the global, regional, and country levels to define, adapt, and socialize one or more such agenda(s), which may be health area-specific, sector-wide, or cross-sectoral, to achieve effective coverage of proven SBC interventions at scale, resulting in significant improvements in population level health outcomes. Engaging organizations and individuals not previously involved or specialized in SBC, including those who may be skeptical of such approaches, will be essential to the design and application of an effective technical agenda and to the achievement of SBC programming at necessary scale to accelerate progress towards USAID's ambitious health and development goals.

The four sub-intermediate results under IR 2 are:

- SIR 2.1: Multi-institutional platforms at global and regional levels leveraged to share and coordinate around SBC challenges.
- SIR 2.2: Global, regional and country SBC programming and investment agendas created to address priority gaps and opportunities.
- SIR 2.3: Investments in SBC programming leveraged
- SIR 2.4: SBC priorities and agendas diffused through new and existing platforms at the global, regional and country levels.

**SIR 2.1: Multi-institutional platforms at global and regional levels leveraged to share and coordinate around SBC challenges**

The global health and development community must develop a common vision for advancing its goals through coordinated, evidence-based SBC investments; doing so will require regular and structured opportunities for exchange and learning across donors, multilateral organizations, implementers, and others active in SBC research and programming. It is expected that this

project, through its prime and partners, will support organizations or groups of organizations in leveraging global and regional fora for broad-based knowledge management and community-building, in order to bring greater coherence to the SBC field, lead global and/or regional advocacy for SBC, address SBC challenges, and provide strategic direction for SBC investments linked to global goals and sectoral initiatives.

*Illustrative areas of work:*

- Convening a broad range of donors, governments, and implementers in specific activities or events in order to exchange and promote emerging programmatic practices and engage potential supporters and partners.
- Supporting donors, multilateral organizations, or consortia or implementers to encourage growth of diverse, vibrant, and active SBC communities of practice at the global, regional, and country levels.

**SIR 2.2: Global, regional and country SBC programming and investment agendas created to address priority gaps and opportunities**

Governments, donors, and development partners, including private sector and civil society organizations, invest significant resources in SBC. However, greater harmonization of investments and uniformity in standards of technical practice remain a challenge. This project will analyze gaps and seek opportunities to develop joint SBC programming and investment technical agendas that can bring stakeholders together around common initiatives, challenges and programming frameworks.

*Illustrative areas of work:*

- Identifying barriers and opportunities for advancing shared SBC programming and investment agendas.
- Creating consensus agendas for SBC programming and investment based on shared or complementary health and development priorities across regions and countries.

**SIR 2.3: Investments in SBC programming leveraged**

Financial and human resource investments in SBC by donors, host country governments, civil society, and the private sector are critically important to create opportunities for program innovation and effective SBC interventions at scale. This project will prioritize advocacy and collaboration with new and existing stakeholders to increase the quality and quantity of evidence-based SBC implemented in support of key health and development goals and consensus-driven technical agendas.

*Illustrative areas of work:*

- Conducting targeted advocacy to expand investments in SBC interventions as justified by health context; government and donor priorities; and availability of resources.
- Facilitating coordination across representatives of host country government institutions, donors, private sector, and civil society in priority countries to integrate SBC interventions towards achievement of common health and development goals.

## **SIR 2.4: SBC priorities and agendas diffused through new and existing platforms at global, regional and country levels.**

This project will employ a range of dissemination approaches and platforms to achieve broad socialization and uptake of shared priorities and agendas at the global, regional and country levels.

### *Illustrative areas of work:*

- Sharing SBC programming and investment agendas and priorities with online communities of practice.
- Developing tailored content, including but not limited to, briefs, infographics, presentations, and talking points, for use by a range of stakeholders, including host-country government representatives, to advocate for sufficient investment in SBC and strategic use of invested funds (see 2.3 for more information).

All activities described above are illustrative; applicants are encouraged to describe different strategies that would be more effective in achieving the objectives of the project.

## **5. Staffing, including Key Personnel**

The Breakthrough-ACTION project will have expertise in, or access to, specialists in the range of SBC technical areas outlined in the RFA, specifically Section A – Program Description. Applicants are requested to propose key personnel and present a comprehensive staffing plan that demonstrates a balance of skills that will support the achievement of Breakthrough-ACTION's objectives and results. The staffing pattern should reflect the minimum number of highly experienced technical staff sufficient to conduct activities anticipated under this award. This core capability must be supplemented by a large stable of prime and partner staff and experienced consultants, who may be mobilized quickly to address Mission buy-ins and/or unforeseen health emergencies. Applicants will propose the optimal mix of technical personnel considered necessary for global leadership and country support, and specifically detail the mechanism and cost effective approaches through which relevant professional expertise in areas not included in core staffing will be provided as required. The staffing level and pattern may be modified over time if needed to provide effective support to field programs as they evolve.

All key personnel must demonstrate strong project and personnel management skills; innovation and flexibility in technical practice and/or management; the ability to network and collaborate effectively with a wide range of stakeholders; and strong communication skills. Diversity of institutional, technical, and geographic experience across key personnel and other senior project staff is strongly desired by USAID. Accordingly, if the prime proposes to include partner organizations in its application, partners' staff should be assigned roles and positions that match the prime applicant's vision of the partners' intended contributions to achievement of the project's purpose. 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.

A total of five (5) key personnel are envisioned: **Project Director; Deputy Director; Director of Programs and Integration; Technical Director; and Director for Monitoring, Evaluation, and Learning.**

**Project Director:** The Project Director will have overall responsibility for coordination of project activities and staff. S/he will possess both deep applied experience in SBC programs operating at field and headquarters levels, and demonstrated abilities in leadership; strategic thinking; development of effective teams; and change management. S/he will provide strategic direction and management for the project, and proactively engage a broad range of donors and implementers in advancing the practice of SBC globally. S/he will have principal responsibility for representation of the project to USAID, and will cultivate open and collaborative management relationships with the project team at USAID Washington, as well as with sister project Breakthrough-RESEARCH.

**The proposed Project Director must meet or exceed all of the following specific requirements:**

- Has a Master's degree in public health, communication or a related field with at least twenty (20) years' experience in international health programming, including at least ten (10) years' experience in senior-level management positions and experience leading large and complex projects primarily focused on SBC; OR a Bachelor's degree in public health, communication or a related field with at least twenty-five (25) years' experience in international health programming, including at least fifteen (15) years' experience in senior-level management positions and experience leading large and complex projects primarily focused on SBC.
- Has a proven record of leadership in design and management of SBC programs in LMICs, including experience leading projects across a range of intervention types and/or health areas;
- Has proven ability to effectively engage partners and manage multi-partner consortia; and
- Has experience interacting with U.S. government agencies including overseas offices.

**Deputy Project Director:** The Deputy Project Director will oversee management and operations of the project as a whole. S/he should also be able to act for - or represent - the Project Director as necessary. S/he will possess a deep command of management processes generally and USAID reporting and compliance requirements specifically, and demonstrate an ability to produce quality results on schedule.

**The proposed Deputy Project Director must meet or exceed all of the following specific requirements:**

- Has a Masters' degree in business, public health, communication, or a related field with at least twenty (20) years of experience in international health and development, including senior-level management positions and experience managing large and complex projects implemented by multi-partner consortia, OR a Bachelor's degree in business, public health, communication, or a related field with at least twenty-five (25) years of experience in international health and development, including in senior-level

management positions and experience managing large and complex projects implemented by multi-partner consortia;

- Has a demonstrated record of recruiting, managing and developing personnel for large and complex projects;
- Has at least five (5) years' experience managing the reporting and compliance requirements for large health and development contracts or agreements that serve clients in developing countries funded by U.S. Government funds; and
- Has experience interacting with U.S. government agencies including overseas offices.

**Director of Programs and Integration:** The Director of Programs and Integration will be responsible for ensuring effective bi-directional communication and learning between project headquarters and field offices, including diffusion and application of core-funded research and resources through country programs and vice versa. S/he will further ensure communication and collaboration across technical, operational, and/or regional teams at project headquarters, through both development of knowledge management systems and work processes, and fostering a culture of collaboration. S/he will support the Project Director and Deputy Director in developing and socializing a shared project vision, mission, and identity.

**The proposed Director of Programs and Integration must meet or exceed all of the following specific requirements:**

- Has a Master's degree in public health, communication, the social sciences, or marketing;
- Has at least fifteen (15) years of experience either managing or providing technical support to large and complex international health projects with significant social and behavior change components, of which at least five (5) years in total must have been based/in residence in LMICs.
- Has experience in development and oversight of knowledge management systems and work processes; and
- Is a Senior technical expert in at least one of the project's priority health areas (FP/RH, HIV/AIDS, MCH, malaria), gender or youth; with sufficient understanding of all these areas to direct integrated efforts.

**Technical Director:** The Technical Director will oversee the project's technical activities and staff. S/he will ensure the quality of core-funded technical activities across a range of health areas and SBC, consistently promoting exchange and learning from core-funded activities both across technical teams within the project, and with other USAID partners working in the same areas. Expertise in reproductive health and family planning is strongly preferred.

**The proposed Technical Director must meet or exceed all of the following specific requirements:**

- Has a Master's degree in public health, communication, or marketing;
- Has at least fifteen (15) years of experience working in international health, including experience in a technical leadership capacity on large projects focused primarily on social and behavior change;

- Is a Senior technical expert in at least one of the project's priority health areas (FP/RH, HIV/AIDS, MCH, malaria), gender or youth; with sufficient understanding of all these areas to direct integrated efforts.
- Is a recognized technical thought leader in SBCC, social marketing, or another behavior change discipline, with a proven record of innovation in programming; and
- Possesses a strong understanding of best practices in individual and institutional capacity strengthening for SBC, and will have personal experience in applying key approaches.

**Director for Monitoring, Evaluation, and Learning:** The Director for Monitoring, Evaluation, and Learning will oversee monitoring, learning, and quality assurance/continuous quality improvement activities for the project as a whole. S/he will guide the development and utilization of innovative, near-real-time systems for monitoring of project efforts, including both face-to-face and virtual activities. S/he will support project field offices, partners, and other USAID implementers in developing, training, and applying new and proven approaches to monitoring, learning, and quality assurance/continuous quality improvement. S/he will collaborate closely with project staff engaged in knowledge management and field programming, and will engage substantively with Breakthrough-RESEARCH to define, trial, and promote best and emergent practices in monitoring and evaluation for SBC.

**The proposed Director for Monitoring, Evaluation, and Learning must meet or exceed all of the following specific requirements:**

- Is a Senior technical expert with a Master's degree in public health, marketing, or the social sciences;
- Has at least fifteen (15) years of experience working on international health and development projects, including at least ten (10) years in a senior-level management position in monitoring and evaluation; and
- Has a demonstrated ability to develop, trial, and mainstream effective monitoring, evaluation, and quality assurance/continuous quality improvement approaches across large SBC projects or organizations.

## SECTION B: FEDERAL AWARD INFORMATION

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

Subject to funding availability, USAID intends to provide \$300 million in total USAID funding over a 5-year period to support one Cooperative Agreement. This total funding amount is inclusive of both core and mission field support. All funding will be provided on an incremental basis subject to the availability of funds and successful performance. USAID reserves the right to change the funding amounts, cycle, and terms of the agreement as a result of availability of funding, U.S. Government requirements or recipient performance. Should such changes occur, the recipient will be notified appropriately. As the intent of the project is to stimulate and support the awardees' existing activities, a 10 percent cost share is required for this award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to the implementation of activities at the country level. Mobilization of funds from outside sources through cost share of project activities is highly encouraged.

USAID intends to issue one cooperative agreement resulting from this funding opportunity to the responsible applicant who offers the best application in response to this RFA's requirements, and that includes a calculation of costs that are reasonable and clearly explained. However, USAID may: (a) reject any or all applications, (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in applications received. USAID also reserves the right to fund any one or none of the applications submitted.

Breakthrough-ACTION is anticipated to be funded primarily by the Global Health Programs account and the project is authorized to accept funds from Missions, Regional Offices, Regional Bureaus or USAID functional bureaus outside Global Health. Other eligible funding accounts include Development Assistance Economic Support Funds.

USAID provides funding for global health work through two sources of funding: core funding provided from USAID/Washington Offices and field support provided from USAID field Missions. USAID field Missions use Mission-based funding sources to "buy-in" to centrally based projects to implement country-level activities. Activities funded by field support are expected to support and be aligned with that country's public health priorities as part of the USAID mission portfolio of work. Field support funding provides Missions with the opportunity to access state-of-the-art services and take advantage of technical leadership and oversight that centrally-managed USAID/W programs offer. USAID/W projects also serve as a mechanism to respond to urgent and rapidly evolving public health and development needs. USAID Mission staff and the AOR will be involved with the development of work plans in response to field support.

Under Breakthrough-ACTION, it is estimated that up to \$249 million (83%) will be available from mission field support, and \$51 million (17%) in core funding through the five-year project. Mission field support funds will likely support multi-year, national-level SBC programs, as well as shorter-term initiatives. Core funds will likely be used to support global and regional technical events; provide multi-site or multi-country program design or implementation; develop or trial innovative SBC practices and interventions, including those that address gender and other cross-



cutting issues; develop or apply specialized capacity strengthening resources; and conduct high quality knowledge management, in addition to executing high priority technical leadership activities as needed, specific to cross-cutting issues (e.g., gender, youth) and each contributing health area.

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

The period of performance anticipated herein is five years from the date of award. The estimated start date will be upon the signature of the award, on or about July 1, 2017.

## **3. Substantial Involvement**

The overarching goal of the project and project purpose are best achieved through the award of a CA as the assistance instrument for this RFA. As per guidance in Automated Directive System (ADS) 303.3.11, to ensure achievement of the program's objectives, the AO requires substantial involvement during the administration of this award. To assist in the substantial involvement, the AO will appoint an AOR, who will serve as the main point of contact between USAID and the project. The AOR will help connect the project to other USAID projects, Mission bilateral projects, and other necessary USAID partners.

USAID's substantial involvement during the implementation of the program will be limited to approval by the Agreement Officer's Representative (AOR) – delegated to the AOR by the AO - of the elements listed below, except for any changes to the program description or the approved budget that requires AO approval:

- a. Approval of the Recipient's Implementation Plans:** Implementation plans include, but are not limited to, annual work plans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, knowledge management plans, event planning/management, international meeting preparation, and research studies/protocols.

USAID requires 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 new activities. This plan will be developed in partnership between the Recipient and the AOR team. The AOR will ensure that the implementation plans fit within the scope, terms and conditions of the agreement.

- b. Approval of Specified Key Personnel:** the key personnel will include the following positions (requires concurrence from the AOR and approval from the AO):
  - Project Director
  - Deputy Project Director
  - Director of Programs and Integration
  - Technical Director
  - Director for Monitoring, Evaluation, and Learning

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

USAID's involvement will include:

- *Approval of the recipient's monitoring and evaluation plans.* This describes USAID involvement in monitoring progress toward the achievement of program objectives during the performance of the project, including written guidelines for the content of annual reports and final evaluations in accordance with 2 CFR 200.328 and guidance conforming with PEPFAR (if necessary) reporting requirements at country level. While a draft monitoring and evaluation (M&E) plan and Performance Monitoring Plan (PMP) are requested in the technical application submission, the final M&E plan and PMP will be developed in consultation with USAID post-award. During the initial project planning period, the Recipient shall 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 cooperative agreement. The PMP and M&E plan shall be finalized within 90 days of the award. The Recipient and USAID will jointly review progress on a periodic basis as specified in the cooperative agreement.
- *Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient.* USAID may participate as a member of this committee. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.
- *Monitor to authorize specified direction or redirection because of interrelationships with other projects.* These activities include facilitating partnerships with other key organizations and approval of external meetings and meeting agendas related to this project and its partnerships. All such activities must be included in the program description, negotiated in the budget, and made part of the award. Note: 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.
- *Concurrence on the substantive provisions of sub-awards.* 2 CFR 200.308 requires the recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. The term 'sub-awards' includes both sub-agreements and contracts under assistance. Some of the sub-award approval responsibilities may be delegated to the AOR. 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.

- d. Agency Authority to Halt a Construction Activity:** The AO may immediately halt a construction activity if identified specifications are not met. However, construction activities are not anticipated under this cooperative agreement.

**4. 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 2 CFR 200.316 regarding use, accountability, and disposition of such property.

## **5. Authorized Geographic Code**

The geographic code for this program is **Geographic Code 937** (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source). The Recipient of this award may request a waiver to change the geographic code, after award.

The project will have the mandate to support integration of high quality, evidence-driven SBC interventions in health and development programs to increase the practice of priority health behaviors and enable social norms worldwide. The project will work across the health sector, with particular emphasis upon FP/RH, MNCH, HIV/AIDS, and malaria, with attention to emerging and pandemic threats and other infectious diseases (as needed and per availability of funding), and will provide support to USAID Missions, host-country governments, and other partners active in LMICs in all regions. This award will prioritize the EPCMD, PMI, and PEPFAR focus countries, though any USAID-supported country may buy into the project assuming the requested scope fits into the agreement's larger scope of work. Breakthrough-ACTION will collaborate closely with its sister project, Breakthrough-RESEARCH. The level of effort and budget may be adjusted according to the availability of funds, the nature of the activity, and the needs and opportunities of each situation.

## **6. Authority to Obligate the Government**

The AO is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the AO.

## **7. 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 Breakthrough-ACTION project, which is authorized by Federal statute.

The 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.

## **8. Start-Up, Transition, and Annual Work Plans**

Post-award, all key personnel will meet with the Breakthrough-ACTION USAID management team in Washington, DC to review the proposed start-up and transition plan for the first three months of the project (see Section D of this RFA). Prior to the end of the three-month period, key personnel will meet with the USAID management team to discuss and agree on the work plan to be implemented for the first year. This work plan will be updated annually based on the project year schedule and implementation schedule. The USAID work plan period is October - September; depending on the date of award, the first and last year work plans for the project may cover more or less than twelve calendar months.

In each subsequent year of the project, the Breakthrough-ACTION project team will submit a draft annual work plan and detailed budget estimate associated with the work plan for that year. The draft annual work plan will identify the activities to be carried out and results to be achieved in the coming implementation year. The work plan must include the associated level of effort, funding sources to be used for that work, the counterparts (public, private, and NGO) that will be involved in these activities, the timeline for such activities, and the expected results. The work plan will describe how Breakthrough-ACTION plans to collaborate with Breakthrough-RESEARCH, as well as other USAID-funded and other donor projects active in relevant countries.

In drafting the annual work plans, the Breakthrough-ACTION project team will be expected to identify strategic objectives and intermediate results per activity that have been determined in consultation with the USAID Mission, Office, or Bureau. Targets, indicators, and data sources must be identified for each project result and align with the project's PMP and M&E plan. Strategic objectives in each country must flow logically from the Mission, Office or Bureau strategic framework as well as the Breakthrough –ACTION project's results framework to be proposed by the applicant. Breakthrough-ACTION will also be expected to identify other Cooperating Agencies and other relevant stakeholders that are working to achieve the same IR and with Mission, Office, or Bureau direction and concurrence, will collaborate with these CAs to achieve their common objectives and results.

## **9. Coordination with USAID**

The CA will be managed by PRH at USAID. The CA will have one AOR and an alternate AOR as well as support from technical advisors. The AOR will retain substantial involvement for activities conducted under this award, funded both through core and field support funds. The recipient will keep the AOR apprised of the status of technical services provided by the recipient and will be prepared to travel to USAID offices in Washington, DC or be available by phone/videoconference to review the annual work plan, planned core activities, and to debrief USAID on specific country activities of Mission buy-in to the project.

The AOR will assist the recipient by liaising with other offices in the Global Health Bureau, Regional Bureaus, and USAID Missions. An expanded management team including advisors from the Bureau's Office of Population and Reproductive Health; Office of Maternal and Child Health and Nutrition (MCHN); Office of Infectious Disease (ID); and HIV/AIDS will provide technical, financial, and administrative oversight of the project. This team will regularly communicate with Breakthrough-ACTION leadership, including providing strategic guidance

and review of project outputs. Further, Breakthrough-ACTION will engage with Mission staff actively, through both the project management team at USAID Washington and other mutually agreed upon strategies. The USAID Washington management team will facilitate and approve field buy-ins as well as provide oversight on all field activities. The Missions will coordinate with the AOR on direct day-to-day management oversight of Mission buy-ins.

*Management Review and External Evaluations:* Annual management reviews will be conducted by the USAID Management Team, providing an opportunity to examine issues impacting project implementation, potential, and efficiency, as well as the opportunity to reflect on and make recommendations regarding any modifications necessary to improve project management and performance. The USAID Management Team will also monitor both financial and technical performance on an ongoing basis and will carry out periodic reviews of specific aspects of performance. Feedback on the recipient's performance will be collected from key stakeholders, including host-country counterparts and missions, and will be shared with the recipient to improve performance.

USAID will commission one or more external evaluations to assess specific aspects of the project and/or the project in its entirety at a time to be determined by the AOR team. The evaluation will adhere to the principles outlined in USAID's Evaluation Policy. Its methodology and questions will be determined by the USAID Management Team in consultation with GH colleagues and evaluation specialists.

**{END OF SECTION B}**

## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

To be eligible for the CA under this RFA, applicants submitting as prime recipients must meet the requirements stated below. In order to be a Prime Applicant, the applicant must be:

- 1) Be a US or non-US based for-profit NGO, not-for-profit NGO, international organization, or private voluntary organization, inclusive of universities.

#### **AND have the following items #3-8:**

- 2) Demonstrated capacity in support of implementation of SBC activities across a range of health and related areas in LMICs;
- 3) Demonstrated managerial, technical, and institutional capacities to achieve the results outlined in this RFA, including financial systems;
- 4) Documented capacity to collaborate with, and convene, a range of stakeholders to achieve the results outlined in this RFA;
- 5) Demonstrated ability to collaborate with host-country governments, NGOs and other donors to undertake SBC programming and advance policy and advocacy in the substantive areas outlined in this RFA;
- 6) 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; and
- 7) Propose to contribute cost share from their own, private, or local sources no less than 10 percent of the amount of funds obligated by USAID for the implementation of this project over the course of the agreement. Specifically, such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to the implementation of activities at the country level. Mobilization of funds from outside sources through cost share of project activities is highly encouraged.

Applications from organizations that do not meet the above eligibility criteria will not be reviewed and evaluated. Individuals are not eligible to apply for this RFA.

The applicant (unless the applicant is an individual or Federal awarding agency that is excepted from those 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) Be registered in SAM before submitting its application;
- (ii) Provide a valid DUNS number in its application; and
- (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.

USAID will not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

USAID encourages applications from potential new partners who are qualified with the above points and are willing to be subjected to a Pre-Award Responsibility Determination-a pre-award audit to determine fiscal responsibility (i.e. whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the project and comply with the terms and conditions of the award).

While for-profit firms may participate, pursuant to 2 CFR 200.400(g) it is USAID policy not to award profit to prime recipients and sub-recipients under assistance instruments. However, while profit is not allowed for sub-awards, the prohibition does not apply when the recipient acquires goods and services in accordance with 2 CFR 200.317 -326, “Procurement Standards.” This is discussed more specifically in ADS 303sai “Profit Under USAID Assistance Instruments,” which can be found at this link: <http://www.usaid.gov/ads/policy/300/303sai.pdf>.

Program income will not be generated under this award.

USAID anticipates that applicants may indicate formal arrangements with partner organizations or with sub-awardees for implementing this project in their application. Applicants are encouraged to propose creative, collaborative partnerships with other U.S. and/or international organizations, NGOs, private voluntary organizations, and firms to implement activities under this program. Inclusion of South-to-South partners and small business partners is highly desirable. Proposing at least one new partner in response to this RFA is also highly desirable. “New partners” are defined as organizations that have never received Global Health Bureau funding as either a direct or sub-recipient. Under this definition, organizations that have been directly funded by a USAID Mission bilateral project or have received USAID Regional Bureau funding will be considered a new partner. Partnerships should be of manageable size with relationships and responsibilities clearly defined. Formal consortiums should submit official consortium documentation as described in Section D of this RFA.

## **2. Cost Sharing or Matching**

As the intent of the project is to stimulate and support the recipient's existing activities, a ten (10) percent cost share of the total obligated federal funds is required for this award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to the implementation of activities at the country level. Mobilization of funds from outside sources through cost share of project activities is highly encouraged.

For guidance on cost sharing in grants and CAs, please see the ADS 303.3.10 and 2 CFR 200.307 for US NGOs. For non-US NGOs, all cost sharing would be subject to the Required as Applicable Provision "Cost Sharing" in ADS303 mab.

### **3. Number of Applications**

Eligible organizations may submit only one (1) application in response to this RFA as the Prime Applicant. The proposed persons for the Key Personnel positions may be included on more than one (1) application.

Projects proposed with an implementation period of more than five (5) years will not be considered. Activities will be part of a five-year agreement.

**{END OF SECTION C}**



## SECTION D: APPLICATION AND SUBMISSION INFORMATION

### 1. Agency Point of Contact

Ms. Samantha Corey  
 Agreement Officer  
 USAID, M/OAA/GH/POP  
 301 4<sup>th</sup> Street SW  
 Washington, DC 20024  
[scorey@usaid.gov](mailto:scorey@usaid.gov)

### 2. Questions and Answers

Questions regarding this RFA must be submitted by email to Ms. Samantha Corey at [scorey@usaid.gov](mailto:scorey@usaid.gov) no later than the due date and time provided on the cover page. There will only be one round of questions and answers throughout the RFA process. Therefore, applicants should submit all questions prior to the deadline listed on the cover page.

Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment to this RFA on Grants.gov, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant. Please check [www.grants.gov](http://www.grants.gov) for any amendments.

### 3. General Submission Instructions

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

The successful applicant for this RFA will be awarded a Cooperative Agreement with USAID. Applicants must review, understand, and comply with all aspects of this RFA. Applications in response to this RFA should respond directly to the terms, conditions, specifications, and provisions of this RFA. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration.

**In compliance with 5 CFR 1320, the Paperwork Reduction Act, applications (technical and cost) need to be submitted in electronic format only.** Applications must be submitted electronically to Samantha Corey at [scorey@usaid.gov](mailto:scorey@usaid.gov) no later than the due date and time provided on the cover page. A complete application includes (a) one complete technical application and (b) one complete cost/business application, in English. When possible or except when requested otherwise, please combine all technical application documents into one file. Applications need to be submitted in English, and must be in Microsoft Word 2010 (technical) and Excel 2003 (cost) format. Applications should reference the total proposed funding level and the estimated cost share on the cover page, of the cost application **only**. The font size in the technical and cost applications must not be less than size 12.

When emailing an application to [scorey@usaid.gov](mailto:scorey@usaid.gov), each applicant must include the RFA number in the emails' and attachments'/files' name(s), as well as indicate whether it is the

technical or cost application. USAID email server cannot handle more than 25 MBs of attachments per email. If the applicant must divide the submission into more than one email, please number the emails in the subject line (i.e. Email 1 of 3), indicate in the email's subject line whether the email with its respective attachments/files relates to the technical or cost application, and the desired sequence of emails. For example, if the cost application is being emailed in two emails, the first email should have a subject line which says: "[organization name], RFA-OAA-17-000002, Cost Application, Email No. 1 of 2". It is the applicant's responsibility to ensure that all necessary documentation is complete and received on time.

All applications received by the submission deadline will be reviewed for responsiveness to the RFA and the application format. Section E: Application Review Information addresses the technical review procedures for the applications. No additions or modifications will be accepted after the submission date. Applications that are submitted late or are incomplete may not be considered for award. Additional information in the application not requested by the RFA may be removed and may adversely affect an applicant's evaluation/review.

#### **4. General Instructions**

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for any costs incurred in the preparation or submission of an application.

USAID may make an award on the basis of initial applications received, without requesting clarifications or additional detail on an application. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. USAID reserves the right, however, to obtain clarifications or additional detail on an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

As discussed in Section C: Eligibility Information, please be advised that each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from those 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. Be registered in the System for Award Management (SAM) before submitting its application;
- ii. Provide a valid DUNS number in its application; and
- 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 Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to register early to be eligible to apply for this RFA.

DUNS number: <http://www.dnb.com/get-a-duns-number.html>

SAM registration: <http://www.sam.gov>

Completion of an early registration does not constitute any commitment on the part of USAID to make an award.

The complete RFA, including all the attachments, can be found and downloaded from <http://www.grants.gov>. Select “Find Grant Opportunities”, then click on “Browse by Agency”, and select “U.S. Agency for International Development” and search for this RFA. If there are problems downloading the RFA, please contact Grants.gov Help Desk at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) for technical assistance.

Applicants must set forth full, accurate, and complete information as required by this RFA. The penalty for making false statements to the U.S. Government is prescribed in 18 U.S.C. 1001.

Proprietary Information: Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for review purposes only must:

- Mark the title page with the following legend: "This application includes data that must not be disclosed outside the U.S. Government and must not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a CA is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government must have the right to duplicate, use, or disclose the data to the extent provided in the resulting CA. 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 pages \_\_\_\_."; and,
- Mark each page of data it wishes 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."

The application must include only one prime applicant – which can be a single organization, or a formal consortium -- and may enter into sub-agreements or contracts under assistance with partnering institutions. In this case, the prime applicant will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term “applicant” is used to refer to the prime and any proposed partners.

Partnerships should be of manageable size with relationships and responsibilities clearly defined. Formal consortiums should submit official consortium documentation as described later in this Section.

## 5. Preparation Guidelines

Each applicant must furnish the information required by this RFA. Applications must be submitted in two separate parts: (a) Technical Application and (b) Cost Application.

All information (including both the Technical and Cost Applications) must be submitted in English. If the application is in any other language, it will be treated as non-responsive and eliminated from further consideration.

The applicant must sign the application and certifications and print or type its name on the cover page of the technical and cost applications.

Content and format instructions must be followed as instructed below or applicants are at risk of being considered non-compliant and eliminated from the review process. The following requirements apply to documents submitted for this RFA, with the exception of Government-issued forms:

- 8.5” x 11” with 1” margins, single column, left justified.
- Written in English.
- No less than 12-point, Times New Roman font for all narratives.
- No less than 10-point, Times New Roman font for graphics/charts and tables.
- Submitted in Microsoft Word 2010 and PDF format, except budget files, which must be submitted in Microsoft Excel 2013 or later. Past Performance Report Short Forms must be submitted in Microsoft Word 2010.
- Budget amounts must be detailed in U.S. Dollars (USD)

Any erasures or other changes to the application must be initialed by the person signing the application.

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

A complete, full application will consist of the following:

- Technical Application with Annexes
  - Cover Page
  - Table of Contents
  - Acronym List
  - Executive Summary
  - Technical
    - Technical Understanding and Approach
    - Scenarios
  - Management
    - Management Plan
    - Institutional Capability and Past Performance
    - Performance Monitoring and Evaluation
  - Key Personnel and Staffing
    - Key Personnel
    - Staffing Narrative and Roster
  - Technical Application Annexes:
    - Past Performance References: three Past Performance Short Forms for the prime and one Past Performance Short Forms for each proposed principal

partners/sub-awardees (defined here as any partner proposed to accomplish at least 15% of the activities, as determined by total budget share).

- Signed Letters of Intent to Collaborate from any stated partners or sub-awardees (all proposed partners, not just principal partners)
  - Staffing Roster
  - CVs/Resumes of Proposed Key Personnel
  - Signed Letters of Intent from Key Personnel
  - Illustrative First-Year Performance Monitoring Plan (PMP)
- Cost Application
  - Cover Page
  - SF 424 Forms
  - Budget
  - Budget Narrative
  - Funding Restrictions (acknowledgement)
  - Certifications, Assurances and Other Statements of the Recipient
  - Certificate of Compliance (if applicable)
  - Consortium Documentation (if applicable)
- Start up and Transition Plan (first 3 months of project)

## 6. Technical Application Instructions

The technical application must take into account Section A: Program Description and Section E: Application Review Information of this RFA. The technical application must only respond to what is requested in this RFA, articulating the applicant's ability and expertise to achieve project objectives/IRs in a manner that is specific, complete, and concise. The technical application will be weighted higher than the cost application for evaluation/review of award of this cooperative agreement.

The technical application must be in English and all applicants must follow the guidelines for submission. **The technical application must be no more than 35 pages, not including the cover page, table of contents, acronym list, executive summary, and annexes (including figures and tables within the annexes). Any figures and tables within the technical application itself (not the annexes) must fit within the 35-page limit. The Start Up and Transition Plan is not included in the 35-page limit as it is separate from the technical application.**

The technical merit review criteria are described in Section E of this RFA. In terms of relative importance, the Technical Merit Review Criterion is weighted more than the Management and Key Personnel and Staffing Criteria. The Management and Key Personnel and Staffing are weighted equally. A USAID Selection Committee will evaluate the technical applications under the merit review criteria in Section E. The format of the technical application must follow the outline and order of the technical merit review criteria according to the guidelines provided in Section E, and specified below:

### a. Cover Page (1 page, not included in the page limit)

The Cover Page should include the following:

- Program/Project title;
- RFA reference number;
- Name of organization applying for the agreement;
- Indicate the author(s) of, and percentage of effort by, section of the application;
- Name(s) of all proposed partner(s)/sub-recipient(s) (not just principal partners); and
- Contact person, telephone number, fax number, address, and name(s) and title(s) of person(s) who prepared the application, and corresponding signatures.

**b. Table of Contents (not included in page limit)**

**c. Acronym List (not included in the page limit)**

**d. Executive Summary (1- 2 pages, not included in the page limit)**

This section must offer a succinct 1-2 page summary of the application as a whole, and should contain the information that the applicant believes best represents its proposed program, which may include an overview of the proposed technical approach, expertise and experience of the prime applicant and its proposed partners, project management approach, and technical and managerial resources to achieve the proposed project.

**e. Main Criteria A: Technical (not to exceed 20 pages)**

This section must reflect the Applicant's understanding and expertise with respect to the program description and achieving the objectives (IR1, IR2, and sub-IRs) outlined in Section A of this RFA, as well as the ability to synthesize and apply the lessons learned from the Applicant's other program experiences.

Technical Sub-criteria A.1 and A.2: Technical Understanding and Approach

The Applicant must:

1. Describe how it will implement a state of the art and effective global SBC program to increase the practice of priority health behaviors and enabling social norms for improved health and development outcomes, with attention to the strategic objectives, intermediate results, and technical considerations described in Section A of this RFA.
2. Clearly and explicitly describe:
  - The rapidly evolving science of SBC, and how different SBC best practices or disciplines will be integrated into health and development programming in order to design and implement innovative and effective solutions that improve country-level health and development outcomes, with particular attention to FP, HIV/AIDS, MNCH, and malaria outcomes;
  - The proposed approach for developing and socializing shared technical agendas for programming and investments in SBC, including key stakeholders to be mobilized

- and strategies for their engagement, and processes for identification and prioritization of activities;
- The proposed approach for engaging service delivery partners, and supporting broad application of evidence-based practices in SBC in service delivery programs;
  - The vision and plan for development and/or leveraging of governments, as well as local and regional SBC partners, and approaches and tools for assessing and developing required capacity among these partners; and
  - The proposed approach for collaboration on SBC challenges, including utilization and promotion of learning and innovations derived from the project, as well as from Breakthrough-RESEARCH and other research projects.
3. Include use of existing USAID-funded knowledge management and capacity strengthening resources, including the Springboard, the Health COMPass, and online implementation kits, to the greatest extent possible. Please note: Breakthrough-ACTION will likely not be funded to develop new online platforms or databases.

### Technical Sub-criterion A.3: Scenarios

1. Provide responses to the three *hypothetical* scenarios below (not to exceed 9 pages – maximum 3 pages per scenario). In these case studies, the applicant will describe the SBC approach that will most likely achieve desired behavioral objectives among priority audiences within the project timeframe and budget, justifying its selection based upon existing evidence and/or formative research activities proposed in the response. In each scenario, the applicant will describe:
  - Plans to utilize its proposed partners, as well as any in-country partners not named elsewhere in the application;
  - Stakeholders with which it will engage incountry, and strategies for securing their commitment and participation in proposed activities;
  - Any technical or operational capacity strengthening to be achieved through the project, including beneficiaries, proposed approaches, and competencies to be improved;
  - Approaches employed for monitoring and quality assurance of project activities, as well as planned evaluations of these activities;
  - Any management practices that may be applied to enhance efficiency and impact given the specific country context; and
  - Strategies for sharing project learning within and beyond the country of implementation.

**The applicant is not required to prepare budgets associated with the scenarios, but should identify main categories of cost in the narrative response to each scenario.**

#### **Scenario 1:**

Country A is a large, populous country with a mixed HIV/AIDS epidemic concentrated in its five largest states, each of which centers around a major urban area. With PEPFAR support, Country A is working to achieve the UNAIDS 90-90-90 target, in which 90% of all people living with HIV know their status; 90% of all those diagnosed with HIV receive sustained antiretroviral

therapy; and 90% of all people receiving antiretroviral therapy achieve viral suppression. Although the country is meeting its annual targets among pregnant women, men aged 35 years and older -- an important priority population with a HIV prevalence nearly three times the national prevalence -- are not seeking services. Across the clinical cascade from testing to care to treatment, men's uptake of services is very low. Likewise, older men are not engaged in care support groups, known to strengthen ARV retention as well as psycho-social support.<sup>11</sup> Meanwhile, the data reveal a steep incline in prevalence among men 35+ and suggest they are transmitting HIV to young women aged 18-29. Preliminary formative data shows that men have misinformation about HIV and HIV-related services, adhere to gender norms that promote multiple concurrent partners (even among married men), have low HIV risk perception, and believe that health services are primarily for women, children, and the sick. The Ministry of Health has requested assistance from USAID and its partner Breakthrough-ACTION.

**USAID requests that Breakthrough-ACTION** propose one or more interventions to dramatically improve men's service seeking behaviors across the HIV cascade, including HIV testing, engagement in care, and treatment adherence and retention, which may be mainstreamed in public sector programs at the end of the project.

The applicant may assume that three years and \$9,000,000 are available for the intervention, and should describe its process for designing one or more SBC approaches responding to the challenge described above, including non-communication-based approaches as appropriate, and justify the selected approach(es).

## **Scenario 2:**

In neighboring Countries B, C, and D, USAID supports projects in health, democracy and governance, and primary education. USAID does not have a primary SBC partner in any of the three countries; however, behavior change activities are a small component of many partners' projects. Following outbreaks in neighboring countries and sustained human-to-human transmission, local surveillance mechanisms have identified a small but increasing number of cases of an emerging infectious disease, which brings with it rumors and misinformation, along with associated fear and stigma. News of the emerging pandemic has reached the global media and WHO has just declared the outbreak to be a Public Health Emergency of International Concern (PHEIC). There is substantial pressure from international partners for the government and development partners to implement and coordinate efforts quickly and seamlessly. Several large international businesses active in the region have also expressed interest in supporting the response. Implementing partners meet with the government weekly to discuss the rapidly evolving situation and required actions.

**USAID requests that Breakthrough-ACTION** establish a program to support and enhance the efforts of partners already active in Countries B, C, and D, including the public sector, in effectively changing social norms and behaviors contributing to the spread of the pandemic.

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<sup>11</sup> Luque-Fernandez MA, Van Cutsem G, Goemaere E, Hilderbrand K, Schomaker M, et al. (2013) Effectiveness of Patient Adherence Groups as a Model of Care for Stable Patients on Antiretroviral Therapy in Khayelitsha, Cape Town, South Africa. PLoS ONE 8(2): e56088. doi:10.1371/journal.pone.0056088



The applicant may assume one year and \$10,000,000 are available for the intervention, and should describe the design, implementation, monitoring, and management approaches that will allow it to respond quickly and effectively to the pandemic threat, without compromising the quality and implementation timeline of other project activities worldwide.

### **Scenario 3:**

Country E is home to 15 million people, of whom 35% reside in two large urban areas. The country has a large agricultural sector, and the majority of its sizeable rural population consists of subsistence farmers. Both the formal and informal agricultural sectors are being impacted by ongoing droughts throughout the country. The World Food Program has already initiated efforts to ensure supply of grains in rural areas to avoid famine. Forty percent (40%) of the population are under 19 and the fertility rate is six (6) children per woman. The modern contraceptive prevalence rate (mCPR) is 11%, with most FP clients utilizing injectable contraceptives or oral contraceptive pills obtained at minimal cost through public sector health facilities to space births after the first one or two children. The government has historically promoted pro-natalist policies. Gender norms are highly inequitable, and limit women's education and earning potential (primarily in the formal labor market, although they are often not paid for work in the informal labor market), decisions about marriage, decision-making power in the household and community, and access to health services. Several multilateral agencies are active in gender and health programming, with a particular focus on youth development. The country has a large network of national and community radio stations that reach both urban and rural areas, as well as two well-established TV channels that primarily reach urban areas. There is deep cell phone penetration, with approximately 70% of the population owning a basic cell phone.

**USAID requests that Breakthrough-ACTION** design, implement, and internally evaluate an SBC program addressing key norms and behaviors pertaining to family planning, gender, and agriculture, with attention to cultural differences between the country's two urban centers and its rural areas.

The applicant may assume three years and \$7,500,000 are available for the intervention, and should describe how it will engage varied public sector stakeholders, multilaterals, and development implementers, to achieve its proposed objectives.

### **f. Main Criteria B: Management (not to exceed 9 pages)**

This section provides an overview of the management of the proposed technical approach. The applicant should propose a management plan consistent with the proposed approach's technical complexity, that addresses its ability to manage a) overall operations; b) country or technical area-specific approaches, and c) partnerships with organizations or groups, each bringing a particular set of experiences and expertise that would contribute to the accomplishment of the activities undertaken, and the objectives and IRs, within this RFA. The applicant should highlight those areas of program management **not** discussed in other sections.

#### Management Sub-criterion B.1: Management Plan

The Applicant must include:

1. One organizational chart, which will reflect proposed roles and responsibilities and lines of authority and reporting within the project's prime and partners and between Breakthrough-RESEARCH and Breakthrough-ACTION, including both technical and administrative functions. The organizational chart should indicate the proposed physical location/duty station of key personnel and senior technical positions with anticipated project funding equal to or greater than fifty percent (50%) level of effort.
2. An accompanying narrative, which will describe:
  - Lines of communication with USAID headquarters and Missions, other donors and stakeholders, USAID-supported activities based in the Washington DC metropolitan area, other parts of the US, and abroad, and Breakthrough RESEARCH;
  - Strategies for ensuring effective and optimal use of proposed partners, while maximizing the cohesion of overall project activities and collaboration with Breakthrough-RESEARCH. A description of the type or professional level of personnel from the partners, as well as any formal arrangements for a consortium, and with partner organizations and sub-awardees, should be indicated;
  - The process for responding to central investments or Mission buy-ins, including decision-making around use of partners;
  - Strategies for ensuring effective communication and collaboration between project headquarters and field offices, as well as different technical units within project headquarters;
  - The home office support including logistical support/coordination, administrative support, and personnel and financial management, with a focus on plans for assurance of timely and accurate management, disbursement, and reporting of multiple funding streams;
  - Proven practices to support cost containment, avoid duplication, and minimize institutional risk, which have been successfully applied by the prime or its partners in other large and complex programs;
  - A list of proposed local partners and justification for their selection to contribute to achieving the Breakthrough-ACTION purpose and successfully implementing the proposed technical approach. The narrative will also describe the agreed-upon roles and responsibilities of these partners in executing the proposed technical approach, and strategies for providing oversight and support through the prime and its principal partners. Signed letters of intent to collaborate from each proposed partner/subawardee shall be provided in a Technical Application Annex (not within the 35 page limit of the technical application); and
  - Overall proposed approach for collaboration with sister project Breakthrough-RESEARCH.

#### Management Sub-criterion B.2: Institutional Capability and Past Performance

This section of the application provides information about the applicant's capability to undertake this program as well as the applicant's past performance record in implementing programs with similar magnitude and complexity. Firms lacking relevant past performance history shall be given a "neutral" past performance rating that neither rewards nor penalizes those applicants. The Past Performance Short Forms are not included in the 35 page technical application limit,

and should be submitted as Technical Application Annexes. Specifically, these short forms will provide information on the following:

- Applicant's ability to provide or acquire technical accomplishment in SBC program implementation in LMICs, specifically for FP/RH, MCH, HIV/AIDS, and malaria;
- Applicant's ability to form strong collaborative partnerships with a range of donor, implementing partner, government, and host country organizations, among others
- The degree to which the applicant is reported to have been effective, efficient, capable, reasonable, and cooperative (i.e. client satisfaction)
- Whether applicant conformed to the terms and conditions of the contract/agreement/grant (i.e. cost control and timeliness of performance)
- Relevancy of work performed.

The Applicant must also describe:

- The array of technical skills or characteristics of the prime and its partners, and how these combined capabilities will effectively and efficiently support the achievement of the Breakthrough-ACTION purpose and proposed technical approach;
- The experience of the prime and principal partners in implementing large and complex projects with a substantive focus on SBC, and proven record of technical leadership, capacity strengthening, and innovation in behavioral programming; and
- The experience and past performance of the prime in managing and administering large and complex projects, including timeliness and quality of financial operations, partnerships, and management of sub-awards.

#### Management Sub-criterion B.3: Performance Monitoring and Evaluation

This section should provide an overview of the monitoring and evaluation activities of the proposed technical approach.

The Applicant must:

1. Describe key learning questions to drive program measurement, in addition to key priorities and challenges in measurement of global and country-level project results, including strategies for developing and testing new tools, and measurement of cross-cutting priorities such as integration of gender equity in project activities;
2. Provide an illustrative, summary monitoring and evaluation (M&E) plan that describes its primary strategies for collection of data to inform the project monitoring plan (PMP) and other project measurement, learning, and adaptation activities, including both core- and field support-funded activities; and
3. Propose strategies for data quality assurance, as well as capturing and aggregating country-level results.

The applicant is expected to direct project activities with a focus on the project objectives and IRs outlined in Section A of this RFA for all countries.

#### **g. Main Criteria C: Key Personnel and Staffing (not to exceed 6 pages)**

This section should include a summary staffing narrative and discussion of proposed key personnel.

#### Key Personnel and Staffing Sub-criterion C.1: Key Personnel

The applicant will identify key personnel by name and position. A total of five (5) key personnel are envisioned: **the Project Director, Deputy Project Director, Director of Programs and Integration, Technical Director, and Director for Monitoring, Evaluation, and Learning.** The qualifications for key personnel by position are set forth in Section A of this RFA.

Required attributes for all key personnel include strong project and personnel management skills; innovation and flexibility in technical practice and/or management; an ability to network and collaborate effectively with a wide range of stakeholders; and strong communication skills. Individually and collectively, proposed key personnel show evidence of strong skills for building collaborative relationships with donors, host-country governments, and local and international health and development implementers.

The Applicant must:

1. Describe how key personnel will complement each other to achieve project objectives, justifying any changes to the recommended key personnel positions;
2. Summarize key personnel qualifications, including, but not limited to, institutional, technical, and geographic experience; and
3. Include brief statements of major duties for each of the key personnel proposed.

Applicants may propose and justify an alternative staffing structure, including a different configuration of the five (5) key staff positions, if they feel that a different structure is more conducive to achieving the program's specific objectives. All of the key personnel requirements described in Section A must be met in an alternative staffing structure. Each key personnel position requires USAID approval, as noted in the substantial involvement section in Section B of the RFA.

Please note that USAID reserves the right to verify expertise and attributes of proposed staff, in part through past performance and references provided in the technical application, and through contact of references other than those provided in the application.

In the Technical Application Annexes, the applicant must include a signed letter of intent from each proposed key personnel stating that s/he is 1) available within one month of project start-up and 2) will participate for at least two (2) years post-award. Additionally, CVs/Resumes for each of the key personnel must be included in the Technical Application Annexes.

#### Key Personnel and Staffing Sub-criterion C.2: Staffing Narrative

The Applicant must provide a personnel team with an appropriate balance of managerial, technical and operational skills sufficient to achieve the project purpose, objectives, and IRs, and the proposed technical approach.

Additional staffing-related information is provided via the organizational chart included as part of the Management Plan, and the Staffing Roster included as a Technical Application Annex (not within the 35 page limit of the technical application).

This narrative section on the staffing, and the Staffing Roster in the annexes are different. More detail is expected in the narrative section, while the roster can be concise, at-a-glance snapshot of personnel and technical background. The roster is not limited to the five key personnel. Additionally, CVs/Resumes for other senior program staff (senior technical advisors and team leaders) must be included in the Technical Application Annexes.

Under the narrative section on staffing, the Applicant must:

1. Include brief statements of major duties for any other full-time senior program (i.e. non-administrative, non-support, non-part time) staff proposed;
2. Provide a strategy for rapid recruitment and deployment of qualified and appropriate staff, both at project headquarters and in the field;
3. Describe any plans for using consultants to complement staff positions; and
4. Propose a strategy for mentoring, development, and meaningful engagement of junior staff.

**i. Technical Application Annexes (not included as part of the 35-page limit)**

- 4-page CVs/resumes from each key personnel, and 2-page resumes for each senior program staff member (senior technical advisors and team leaders) and any other long-term professional staff/advisors. As part of the CV for the key personnel **only**, the applicant must provide names and contact information (email address and phone number) for up to three references (whom USAID may contact) for each Key Personnel.
- Signed Letters of Intent from each of the proposed Key Personnel (no more than 1 page each). Each Key Personnel's signed letter of intent must state that the proposed candidate will 1) be available within one month of project start-up and 2) participate for at least two (2) years post award.
- Signed Letters of Intent to Collaborate from Each Proposed Partner/Sub-awardee (all proposed partners, not just principal partners)
- Staffing Roster, including name of the personnel proposed (key and non-key personnel), position, proposed annual level of effort, date of availability, years of relevant experience, specific and relevant experience, language skills, the organization where the person is currently employed, the organization where the person will be employed under this project, and if applicable, how long the person has been employed by the applicant/sub-recipient. These are experts who are likely to assist with program activities and can address the broad range of SBC activities envisioned in the RFA on an as-needed basis. These should minimally cover the range of SBC activities and interventions discussed in this RFA. The roster must be no more than four pages in length.
- An illustrative project monitoring plan (PMP), which will include:
  - Key indicators to measure progress towards project objectives;
  - Targets per indicator;
  - How these key indicators will be measured;

- How data will be disaggregated, with attention to SBC-specific measurement concerns; and
- A plan for compliance with voluntarism and abortion legislative and policy requirements.

The proposed PMP for the entire period of performance will be finalized within 90 calendar days of the award (as well as the project M&E plan).

- Three (3) Past Performance Short Forms for the prime applicant, and one Past Performance Short Form for each proposed principal partner/sub-awardee (defined here as any partner proposed to accomplish at least 15% of the activities, as determined by total budget share), using the template provided by USAID (Past Performance Short Form in Annex F of this RFA). Past performance references must be for contracts, grants, and/or cooperative agreements for recent and relevant projects carried out by the applicant. Sub-recipient past performance references do not count as part of the three required past performances for the prime applicant. Recent is defined as the last three years. Relevant is defined as projects of similar size, scope and complexity to the Program Description in this RFA. The reference information to be completed by the prime applicant (and sub-recipient if applicable) in the Past Performance Short Form shall include the location, current telephone number, email address, point of contact, award number, dollar value, and brief description of work performed. Past performance must demonstrate the following:
  - Applicant's ability to provide or acquire technical accomplishment in SBC program implementation in LMICs, specifically for FP/RH, MCH, HIV/AIDS, and malaria
  - Applicant's ability to form strong collaborative partnerships with a range of donor, implementing partner, government, and host country organizations, among others
  - The degree to which the applicant is reported to have been effective, efficient, capable, reasonable, and cooperative (i.e. client satisfaction)
  - Whether applicant conformed to the terms and conditions of the contract/agreement/grant (i.e. cost control and timeliness of performance)
  - Relevancy of work performed.

Please note that USAID reserves the right to obtain past performance information from other sources, including those not named in this application.

## **7. Cost Application Instructions**

The following section describes the Cost/Business documentation that applicants must submit to USAID prior to award. This documentation enables an Agreement Officer (AO) to make a positive risk assessment (meaning that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID). While there is no page limit for this portion, applicants are

encouraged to be as concise as possible, while providing the necessary detail to address the following. The cost application must cover the full period of performance using the budget format shown in the SF-424A.

Applicants must include a detailed five-year budget, with accompanying budget narratives for the application. The budget must provide in detail the total costs for implementation of the program that the organization is proposing. As specified earlier, the applicant should submit the Cost/Business application formatted in Word 2010 (budget narrative) and Excel 2003 or later (for the budget itself). The applicant must submit the full SF-424 series, which includes the:

- SF-424, Application for Federal Assistance
- SF-424, Budget Information – Non-construction Programs; and
- SF-424B, Assurance – Non-construction Programs

If the applicant has established a consortium or another type of legal relationship with its partners, the Cost/Business application must include a copy of the document that specifies the legal relationship between the parties. This document should include a full discussion of the relationship between the organizations including: identification of the lead applicant with whom USAID will work for purposes of Agreement administration; identification of the applicant responsible for accounting; discussion of how the Agreement effort will be allocated among the parties; and specification of the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

Over the life of the project, in addition to USAID funds, applicants are expected to contribute, from their own and other sources, no less than ten (10) percent of the amount obligated by USAID for the implementation of this program. Contributions can be either cash or in-kind and can include contributions from NGOs, local counterpart organizations, project clients, and other donors (not other USG funding sources). Information regarding the proposed cost-share should be included in the SF 424 and the Cost Matrix as indicated on those documents. 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. Applications that do not meet the minimum cost-share requirement are not eligible for award consideration. It should be noted that there is no separate/additional evaluation criteria category for cost share because cost-share is included within cost-effectiveness.

To support the proposed costs, please provide detailed budget notes/narrative for all costs that explain how the costs were derived as described under section (iv) of the cost application below. The following provides guidance on what is needed:

- a. The breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional, and/or country offices. Project management and administrative costs will be shared equitably across all funding sources.
- b. The breakdown of all costs according to each partner organization involved in the program.
- c. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
- d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement.

- e. A description of how allocable costs will be managed.
- f. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
- g. Procurement plan for commodities (if applicable).

The Cost Application must contain the following sections:

- i. Cover Page
- ii. SF424 Forms
- iii. Budget
- iv. Budget Narrative
- v. Funding Restrictions (acknowledgement)
- vi. Certifications, Assurances and Other Statements of the Recipient
- vii. Certificate of Compliance (if applicable)
- viii. Consortium Documentation (if applicable)

**i. Cover Page**

The Cost Application cover page must contain the same information as the Technical Application cover page.

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

The applicant must submit the application using the SF-424 series:

|                                 |                                                                                                                                                                         |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Instructions for SF-424</b>  | <a href="http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html</a>   |
| <b>SF424</b>                    | <a href="http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf">http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf</a>                           |
| <b>Instructions for SF-424A</b> | <a href="http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html</a> |
| <b>SF 424A</b>                  | <a href="http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf">http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf</a>                                 |
| <b>Instructions for SF-424B</b> | <a href="http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html</a> |
| <b>SF 424B</b>                  | <a href="http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf">http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf</a>                                 |

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

**iii. Budget**



The budget must be submitted as one unprotected Excel file (MS Office 2003 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Budget items with the total zero value should not be included in the budget. Files must not contain any hidden or otherwise inaccessible cells. **Budgets with hidden cells lengthen the cost analysis time required to make award, and will result in a rejection of the cost application.**

The budget must include the following worksheets or tabs, and contents for the **prime applicant and each partner**, at a minimum:

1. **Summary budget**, must be inclusive of all project costs (USAID-funded and cost share), broken out by major budget category and by year for activities implemented by the applicant and each partner for the entire period of the project.
2. **Detailed budget**, which is a detailed version of the Summary Budget. The detailed budget must reflect each estimated cost item, broken out. Detailed budget must include a breakdown by year, by budget category and budget line items for all federal funding (core and field support) and cost share for the entire implementation period of the project. Each cost must be specified. Unallowable costs and costs without a clear definition (such as “Miscellaneous”, “Other”, etc.) will not be accepted.

The detailed budgets for the applicant and each partner must contain the following budget categories and information, at a minimum:

- **Personnel:** must be separated into expatriate and local personnel and include direct salaries and wages only (not consultants or partners). All personnel must be proposed in accordance with each company’s personnel policies. Salaries for each proposed labor category must be expressed in an amount per work day with the corresponding level of effort required for each labor category (number of work days) and then calculated to a total cost for each cost period where the salary would be applicable. All rates must be proposed as **unburdened daily rates** exclusive of benefits and/or fees (if any). If applicable, the magnitude of the proposed level of effort should reflect the startup and close down phases of the project.

The budget narrative must include as much information as possible about the personnel’s name, labor category, and unburdened daily rate, level of effort and salary escalation factors. Explain all assumptions in the budget narrative. If the organization has standing policies across all projects for annual salary escalations that exceed current inflation rates, those policies and the effective date of those policies must be provided with the application. The applicant must also certify that the policy applies to all staff across all projects.

- **Fringe Benefits:** if the company has a fringe benefit rate that has been approved by a federal agency, such rate should be used and evidence of its approval should be provided (i.e. a copy of the organization’s NICRA).

- If a fringe benefit rate has not been approved, the application should propose a rate and explain how the rate was determined; in this case, the narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, worker's compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. If leave and/or holidays are included in the latter, the number of work days per year must be prorated accordingly, to avoid the double charge.
- **Consultants:** if the applicant and partners propose consultants, whose services are directly related to the project, the budget must contain a line item for each such consultant, using unburdened daily rates. Similar information should be provided for Consultants as provided for Personnel. In the budget summary, costs for Consultants must be included under Contractual budget category. Consulting services not part of the technical scope/delivery of the award (logistical support services such as audit services, IT support, security, etc.) must be included under Other Direct Costs.
  - **Travel & Transportation:** must be separated into international and domestic travel. Travel costs may include transportation, per diem, taxi transfers to/from airport, insurance, etc. For international travel, costs may also include visa, inoculations, MedEvac and DBA (when applicable). Within each category, details must be provided to explain the purpose of the trip, the number of trips, the mode of travel (airfare, train or other), the departure and arrival cities, the number of travelers, and the duration of the trips. Per diem must be based on the organization's travel policies, as well as align with the Department of State's Standardized Regulations (DSSR). When appropriate please provide supporting documentation as an attachment, such as the organization's travel policy, and include all assumptions in the budget narrative.
  - **Equipment:** must contain a line item for each type of equipment, including information on estimated models, cost per unit and number of units. The budget narrative must include the purpose of the equipment and the basis for the estimates. Explain all assumptions in the budget narrative, including the proposed number of units and annual escalation factors (if any).
  - **Supplies:** must include a line item for each type of supply, including information on cost per unit and quantity. The budget narrative must include the purpose of the supplies and the basis for the estimates. Explain all assumptions in the budget narrative, including the proposed number of units and annual escalation factors (if any).
  - **Contractual:** specify the services or goods provided by the partners. The partners must prepare similar detailed budgets and budget narratives that align with the same requirements as the applicant. Contractual services not part of the technical scope/delivery of the award (logistical support services such as audit services, IT support, security, etc.) must be included under Other Direct Costs. Additionally, Consultant costs should be included under this Budget Category.

- **Other Direct Costs:** must be separated into program costs and operational costs.
  - o **Program Costs** may include meeting costs, training sessions, workshops, etc. A detailed cost buildup for each element must be included in a separate worksheet or a tab to specify the number of events and the costs per one event (such as facility rental, audio visual rental, meals, local travel for participants, etc.) Meals and local travel must not be duplicated for the applicant's staff in travel and transportation, but must only cover non-applicant or non-partner employees attending the meetings/trainings. Explain all assumptions in the budget narrative, including the proposed number of units and annual escalation factors (if any).
  - o **Operational Costs** may include office rent, utilities, communication, maintenance or service costs, costs associated with implementation of Branding and Marking Plan, costs for services not part of the technical scope/delivery of the award (i.e. logistical support services), taxes (if applicable), etc. Explain all assumptions in the budget narrative, including rates, quantity and annual escalation factors (if any).
- **Indirect Costs** must be supported with information to substantiate the calculation of the indirect cost. If the applicant (and each partner, if applicable) has received one of the following, it must provide the document in the cost application to substantiate the indirect cost: 1) a letter from a cognizant U.S. Federal audit agency or a Negotiated Indirect Cost Agreement (NICRA); or 2) a narrative that supports how the indirect rates were calculated.

If the prime applicant does not have a NICRA, the applicant must submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Accountant (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; and that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The accountant must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issued report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), and the financial statements are the responsibility of management. It also provides an opinion that the financial statements present fairly in all material respects, and the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.)

- **Cost Share:** to be eligible, applicants must propose cost share of no less than ten (10) percent of the total proposed budget. Cost share must be detailed (who is providing the cost share, how will the cost share be used, how does the cost share contribute to the objectives, etc.) The applicant and each partner proposing cost share must confirm that:
  - o The proposed cost share contributions are not included as cost share contributions for any other U.S. Government (USG)-assisted program; and
  - o Are necessary and reasonable for proper and efficient accomplishment of this award's objectives.

#### iv. **Budget Narrative**

The cost elements provided in the Detailed Budget must also be provided in the Budget Narrative, but with text that explains the rationale for the costs and any budget assumptions. As noted throughout the cost elements above, the Budget Narrative must contain sufficient detail so that USAID can read the document while reviewing the Detailed Budget and understand the proposed costs. The Budget Narrative must be thorough, including sources for costs to more quickly enable USAID to determine the cost as fair and reasonable. Applicants are encouraged to provide copies of quotes or reference online resources for determining the costs so that USAID can verify the costs included in the budget. **Explain all assumptions in the budget narrative.**

#### v. **Required Certifications, Assurances, and Solicitation Provisions**

Applicants must complete the Certifications, Assurances, and Representations and include a PDF with the full application submission:

<http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

Note: Past performance references are not required to be completed in this document since they are provided in the technical application.

Applicants must submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a positive risk assessment. The information submitted must substantiate that the applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement;
- Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
- 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;
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunity laws); and
- Has a completed copy of certifications and representations found in ADS 303.38 and Annex C of this RFA.

**vi. Certificate of Compliance**

Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

**vii. Consortium Documentation**

If the applicant has established a consortium, or other type of legal relationship with its partners, the Cost 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 partner(s), including identification of the applicant with whom USAID will work with for purposes of agreement administration, 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.

**8. Past Performance Instructions** (Must be submitted in Microsoft Word) (no page limit)

The applicant must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs active or awarded during the past three years. Only the applicant must provide this list. If a consortium, all consortium members must provide the required information. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a funding organization point of contact list with names, current telephone numbers and email addresses.

In addition to this list, using the template provided by USAID (Past Performance Short Form in Annex F of this RFA), the applicant must provide three past performance references for itself. Past performance references must be for contracts, grants, and/or cooperative agreements for recent and relevant projects carried out by the applicant. If partners are anticipated, one past performance reference is required for each proposed principal partner/sub-awardee (defined here as any partner proposed to accomplish at least 15% of the activities, as determined by total budget share). Partner past performance references do not count as part of the three required past performances for the applicant. Please see more details on these Forms under the Technical Application Annexes Description.

**9. Branding and Marking Plan**

It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and Marking Plan from only the apparently successful applicant; therefore, applicants do not need to submit a draft Branding Strategy and Marking Plan in the initial applications. More information on Branding Strategy and Marking Plan are available at <http://www.usaid.gov/branding/assistance.html>. Please see Section F for more information on this plan.

### **Branding Strategy – Assistance (June 2012)**

- a. Applicants recommended for an assistance award must submit and negotiate "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 clarifications 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 brand mark, with the tagline "from the American people" as found on the USAID Web site at <https://www.usaid.gov/branding>, unless Section F of the RFA or APS state 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 F 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.
- f. 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.
- g. 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 PROVISION)

**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 brand mark, 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 F 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 clarifications 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 PROVISION)

## **10. Start up and Transition Plan**

Applicants must provide a draft start-up plan and transition plan as part of their application package. This plan must describe a schedule for mobilizing and staffing the project over the initial three months following the award, as well as a strategy to ensure a smooth transition for current activities of HC3, the current global SBC flagship project. This plan will not be evaluated; post-award, the awardee will meet with the AOR team to finalize this plan.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

### **1. Unnecessarily Elaborate Applications**

Unnecessarily elaborate brochures or other presentations, beyond those sufficient to present a complete and effective application in response to this RFA, are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

### **2. Acknowledgement of Amendment to the RFA**

Applicants must acknowledge receipt of any amendments to this RFA by providing this acknowledgement in the cover letter of the technical application.

### **3. Receipt of Applications**

Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

### **4. Submission of Applications**

Applications and modifications must be submitted in the manner specified on the cover letter of this RFA.

### **5. Explanation to Prospective Applicants**

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Oral explanations or instructions given before award of a CA will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications, or if the lack of it would be prejudicial to any other prospective applicant. All amendments to the RFA will be posted on Grants.gov.

## **6. CA Award**

Although merit review criteria are significantly more important than cost, the closer the technical review of the various applications are to one another, the more important cost considerations become. The AO may determine what a highly ranked application based on the merit review criteria would mean in terms of performance and what it would cost USG to take advantage of it in determining the best overall value to USG.

Issuance of this RFA does not constitute an award or commitment on the part of the USG, nor does it commit the USG to pay for costs incurred in the preparation and submission of an application, or pre-award costs in general.

## **7. Authority to Obligate the Government**

The AO is the only individual who may legally commit USG to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed CA or a specific, written authorization from the AO.

## **8. Terrorism**

The applicant is reminded that U.S. Executive Orders and U.S. law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this agreement.

## **9. Foreign Government Delegations to International Conferences**

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>], or as approved by the AO.

## **10. Funding Restrictions**

Construction is not an allowable activity under this agreement. Therefore, in the Mandatory Standard Provisions of this RFA and resulting cooperative agreement, the provision entitled "Limiting Construction Activities" (August 2013) will state the following section (d): "Construction is not eligible for reimbursement under this award." Also, USAID does not allow reimbursement of pre-award costs under this RFA.

**{END OF SECTION D}**

## **SECTION E: APPLICATION REVIEW INFORMATION**

### **1. Overview of the Application Review**

All applications received by the RFA deadline stated in the Cover Letter will be reviewed first for eligibility, then for responsiveness, and, finally, against the merit review criteria set forth below. If one part of an application is received after the RFA deadline, then the entire application will be considered late and may not be considered for award. Also, full applications that are received after the RFA deadline will be considered late and may not be considered for award. Further, applications in response to this RFA should respond directly to the terms, conditions, specifications, and provisions of this RFA. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration. If an applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its application to be unacceptable. Applicants who wish to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so. USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the applicant selection decision.

The Government anticipates the award of one cooperative agreement as a result of this RFA. A USAID Selection Committee (SC) will conduct a merit review of all applications received that comply with the instructions in this RFA.

After a careful and thorough review of all applications by the USAID SC, the Agreement Officer will make the final determination and award will be made to the applicant whose full application offers the best solution, considering both technical merit review criteria and cost. Award may be made with or without a request for clarifications/additional detail on an application.

### **2. Addressing Eligibility Criteria**

Each application received by the RFA deadline will be reviewed against the eligibility criteria outlined in “Section C- Eligibility Information”. Applications that do not meet the eligibility criteria will not be considered for award. This includes meeting the minimum cost share requirement of 10 percent of the total obligated amount of federal funds. Any application that does not meet this requirement is not eligible for award consideration.

### **3. Responsiveness**

Eligible applications that are reviewed for responsiveness and found to be incomplete will be determined to be nonresponsive and will not be considered for award. Applications that do not follow the instructions in “Section D- Application and Submission Information” may be deemed nonresponsive and may not be considered for award.

### **4. Application Review Overview**

Eligible, responsive applications will be reviewed in accordance with the merit review criteria and relative weights listed below, the application and submission information in Section D, and the program description information in Section A.

The technical application will be reviewed in accordance with the technical merit review criteria set forth below. The cost application will be reviewed in accordance with the cost criteria set forth below. If an application is recommended for award following this review, technical and cost clarification questions may or may not be issued to the apparently successful applicant(s). USAID may request that key personnel of applicants deemed responsive and eligible deliver an oral presentation describing their proposed approach to inform technical merit review.

Applicants should note that the technical merit review criteria serve to: (a) identify the significant issues which applicants should address in their applications; and (b) set the standard against which all applications will be reviewed. To facilitate the review of applications, applicants should organize the narrative sections of their technical applications in the same order as the merit review criteria. Following review of the technical applications, the cost application will be reviewed for reasonableness, realism, allowability, and allocability. USAID will award to the responsible applicant whose application offers the greatest value to the USG - technical, cost, and other factors considered.

## 5. Relative Importance of Merit Review Criteria

The technical application will be evaluated against the merit review criteria listed below. In terms of relative importance, the Technical Merit Review Criteria is weighted more than the Management and Key Personnel and Staffing Criteria. The Management and Key Personnel and Staffing are weighted equally. Each main merit review criterion will be assigned an adjectival rating. Sub-criteria are in descending order of importance within each main criterion. However, sub-criteria will not be assigned adjectival ratings. All technical review factors when combined are significantly more important than cost. While cost may be a determining factor in the final award decision, the technical merit of the application is substantially more important under this RFA.

| <b>Merit Review Criteria</b>                                                                                                                                    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>A. Technical</b><br>Sub-criteria:<br>A.1 Technical Understanding and Approach<br>A.2 Technical Understanding and Approach<br>A.3 Scenarios                   |
| <b>B. Management:</b><br>Sub-criteria:<br>B.1 Management Plan<br>B.2 Institutional Capability and Past Performance<br>B.3 Performance Monitoring and Evaluation |

**C. Key Personnel and Staffing**

Sub-criteria:

C.1 Key Personnel

C.2 Staffing Narrative and Roster

**6. Merit Review Criteria**

The following merit review criteria will serve as the basis for USAID's review of each application:

**A. Technical**

**A.1 Technical Understanding and Approach:** The proposed approach demonstrates overall merit towards addressing the project's purpose, strategic objectives, and intermediate results, with a focus on cross-cutting priorities and priority SBC challenges, and is feasible within the intended timeframe of the project. The approach clearly demonstrates innovative thinking across all project workstreams, and an understanding of the rapidly evolving science of SBC, including the ability to apply both communication- and non-communication-based approaches to SBC and its measurement in lower-middle income country contexts, and describes a feasible process for determining which approach(es) may be most effectively deployed in a given context. The approach for engaging with service delivery partners demonstrates an understanding of service delivery goals and objectives. The application demonstrates mastery of best practices in integrating SBC within service delivery, and proposes new or adapted approaches that are feasible within the timeframe of the project. The application demonstrates an understanding of state-of-the-art capacity strengthening approaches for SBC, including those targeting individuals, institutions, and national or sub-national systems. The application clearly describes how capacity strengthening tools and approaches may be mainstreamed within country-level SBC programs, and proposed approaches are feasible. The application clearly and logically describes how the prime and its partners will utilize existing SBC capacity strengthening resources developed under HC3, including the Springboard, the Health COMpass, and the online implementation kits, to support improved ability of practitioners, researchers, and donors at global, regional, and country levels.

**A.2 Technical Understanding and Approach:** The approach for developing and socializing technical agendas for programming and investments in SBC demonstrates an understanding of key stakeholders (donors, implementing partners, host-country governments, and others) at the global, regional, and country levels and factors influencing their engagement and effectiveness. The proposed approach(es) reflect a clear understanding of challenges to SBC community-building and technical agenda-setting to date for SBC programming and investment, and offers actionable solutions for identifying and prioritizing 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. The proposed approach for engaging with Breakthrough-RESEARCH and other SBC researchers is clear and provides detailed plans for utilization of data and research to design more effective SBC approaches and strengthen monitoring of SBC implementation quality, learning, and adaptation.

**A.3 Scenarios:** The responses to the three hypothetical scenarios demonstrate an understanding of the current evidence base for both communication- and non-communication-based approaches to SBC, as well as a mastery of best practices in SBC programming across a range of different health areas. Proposed approaches are innovative, incorporate capacity strengthening, are likely to produce desired results, are feasible given timeline and available funding, and have relevant approaches for monitoring and quality assurance. Responses reflect strategic and effective management practices with the use of project partners, and appropriate collaboration with other stakeholders active in country, as well as relevant strategies to secure their engagement. Proposed approach to dissemination of project learning is feasible and is likely to achieve utilization of results among priority audiences. For the proposed capacity strengthening, it is logical, justifiable, and demonstrates an understanding of effective SBC capacity strengthening practices.

## **B. Management**

**B.1 Management Plan:** Overall project management approach, including systems for technical, financial, administrative, and contractual oversight within and between project headquarters and field offices, is clearly described and feasible, and consistent with the applicant's proposed technical approach and organizational chart. Proposed approach reflects proven practices to support cost containment, avoid duplication, and minimize institutional risk. Plans for utilizing partners, including management patterns, lines of communication, roles and responsibilities, and process for determining partner engagement in new buy-ins, are described and demonstrate meaningful, collaborative engagement. Strategies for initiating and maintaining close and collaborative working relationships with USAID/Washington, Missions, and other key stakeholders (including Breakthrough RESEARCH) are described and appropriate. Financial management plans for assurance of timely and accurate management, reporting, and disbursement of multiple funding streams are provided. Proposed approach for collaboration with Breakthrough-RESEARCH is feasible and likely to support achievement of both Breakthrough projects' shared objectives.

**B.2 Institutional Capability and Past Performance:** Institutional technical capacity of the prime and partners is described, with particular attention to competencies likely to directly support achievement of project objectives and the proposed technical approach. Experience and past performance of the prime and principal partners in implementing large and complex projects in LMICs with a substantive focus on SBC program implementation is described, and includes proven record of technical leadership, strong collaborative partnerships, capacity strengthening, and innovation in behavioral programming. Experience of the prime demonstrates adherence to terms and conditions of the projects, as well as efficiency and quality in customer satisfaction, financial management, management of sub-awards, and staffing.

**B.3 Performance Monitoring and Evaluation:** The overview of the proposed performance monitoring and evaluation activities clearly describes key SBC learning questions, priorities and challenges in measurement of global and country-level achievements with a focus on cross-cutting priorities (gender and youth). The application provides a complete and feasible illustrative performance monitoring plan (PMP), compliance plan and summary monitoring and evaluation plan, which may together be used to monitor project progress. Data quality assurance strategies are clearly described and appropriate to the scope, scale, and objectives of the project.



Proposed indicators and targets are appropriate, ambitious and achievable, can be disaggregated, and support the achievement of the project's objectives. Potential internal evaluation activities, including process and impact evaluations, are appropriate and sufficient.

#### *Notes*

- Applicant(s) will be evaluated on past performance over the past 3 years.
- A principal partner is any partner proposed to accomplish at least 15% of the activities, as determined by total budget share.

### **C. Key Personnel and Staffing**

**C.1 Key Personnel:** The application clearly demonstrates that each proposed key personnel has the requisite experience and expertise to meet or exceed the requirements described in Section A, and that 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. If the applicant proposes an alternative key personnel structure, the application clearly demonstrates how the alternative key personnel positions meet, or exceed, all of the key personnel requirements specified in Section A. CVs/Resumes and signed letters of intent for each key personnel are provided and meet the requirements in Section D. Individually and collectively, proposed key personnel show evidence of strong skills for building collaborative relationships with donors, host-country governments, and local and international health and development implementers.

**C.2. Staffing Narrative and Roster:** The proposed staffing narrative is comprehensive and demonstrates an appropriate balance of technical, operational, and managerial functions to successfully execute the proposed technical approach and achieve project objectives. The Staffing Roster and consultants available to the project via the prime applicant and its partners includes sufficient numbers and types of experience and skills in personnel to reasonably meet needs at project headquarters and in field offices, while achieving project objectives. The proposed strategy for recruitment, deployment, and development of qualified staff for its HQ and overseas is actionable and appropriate given the project's mandate and objectives. CVs/resumes are included for all other senior program staff (senior technical advisors and team leaders).

Please note that USAID reserves the right to verify expertise and attributes of proposed staff, in part through past performance and references provided in the technical application, and through contact of references other than those provided in the application.

### **7. Cost Application Review**

Once the technical review of the applications is completed, USAID will evaluate the Cost Application of the apparently successful applicant for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail, financial feasibility, and consistency with elements of the Technical Application. In addition, the organization must demonstrate adequate financial management capability to be measured for a pre-award risk assessment.

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. The Cost Application must clearly demonstrate the applicant's plan for providing the required cost share. The proposed cost share contributions must meet the standards in the "Cost Share" Standard Provision for either U.S. NGOs or Non-U.S. NGOs, as affirmed by a statement by the applicant. For U.S. NGOs, USAID shall make the final determination and assess whether or not the applicant's cost share contributions (e.g. categories or items) meet the standards set in 2 CFR 200. Please note that both U.S. and non-U.S. NGOs are subject to 2 CFR 200 Subpart E Cost Principles.

**{END OF SECTION E}**

## **SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices**

A notice of award signed by the Agreement Officer is the authorizing document for this RFA. The notice of award will be provided electronically to the applicant's point of contact listed in the application. Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b. For the successful application, USAID may reach out to the applicant with clarifying questions and a request for a revised application by a specified date. USAID reserves the right to award without requesting clarifications or additional detail on an application.

Award of the agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

Prior to issuance of award, the applicant may be required to submit additional information on the organization and key individuals for vetting. For example, for those organizations that have not had previous grants or cooperative agreements with the US Government, Articles of Incorporation or other documentation which substantiates the legal character of the entity will be requested. In such cases, issuance of an award is contingent on the timely receipt of the information requested and the successful completion of the vetting process/post-award risk assessment. Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

### **2. Authority to Obligate the Government**

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

### **3. Standard Provisions and Deviations**

The award will be administered according to the applicable standard provisions: (i) for U.S. organizations, 2 CFR 200, 2 CFR 700 and ADS 303maa, the Standard Provisions for U.S. Non-Governmental Recipients (<http://www.usaid.gov/ads/policy/300/303maa>) are applicable; and (ii) for Non-U.S. organizations, the Standard Provisions for Non-U.S. Non-Governmental Recipients (<http://www.usaid.gov/ads/policy/300/303mab>) are applicable.

The award will be administered by the PEC division in the Office of Population and Reproductive Health (PRH) within the Bureau for Global Health (GH). The AO will designate an AOR to review, concur and/or approve on the items outlined in Substantial Involvement (Section B of this RFA).

#### 4. Reporting Requirements

The recipient will adhere to all reporting requirements listed below; further, US Non-Governmental organizations need to be in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.327-329). As required under Substantial Involvement, all reports will be submitted by the due date for approval from the USAID Agreement Officer Representative (AOR). The recipient will consult with the AOR on the format and expected content of reports prior to submission. After the award of Breakthrough-ACTION is finalized, the recipient will be asked to finalize its start up and transition plan, and eventually a first year work plan, which will include research protocols that are responsive to the USAID priority-setting process (see Section B of this RFA). In addition to the reports below, the AOR may request additional information to contribute to the internal USAID project reviews.

The recipient should always be ready for revisions in program indicators.

Final technical reports, presentations, and other related project documents are required to be uploaded into Health Research Information Tracking system (HRIT) or successor database. Some reports are required to be uploaded to the Development Experience Clearinghouse (DEC).

##### **Program Reporting**

The recipient will submit the following documents to the AOR electronically within the time period determined in collaboration with the AOR. Guidelines will be provided by the AOR post-award. Reports will be timed and formatted so that they can provide USAID Bureaus and Missions with useful information required for their reporting requirements.

- o Data Sharing Plan: Within 90 calendar days of the award, the recipient must develop a plan for data sharing that will make data as widely and freely available as possible while safeguarding the privacy of participants, and protecting confidential and proprietary data in accordance with the agreement's provisions and USG regulations.
- o First Year Work Plan and Budget: After the award of Breakthrough-ACTION is finalized, the recipient will be asked to finalize its proposed start up plan and transition plan (if needed) for the first three months, and eventually a first year work plan, which will include research protocols that are responsive to the USAID priority-setting process. The draft First Year Work Plan must be submitted by the recipient within 60 calendar days of the award. The First Year Work Plan to be submitted will not necessarily be for a full year or may be for more than a full year, depending on the start date of the agreement; this will be defined at the time of award.
- o Annual Work Plan and Budget: Starting with the second year of the award and for each subsequent year of performance thereafter based on the fiscal year, the recipient must submit Annual Work Plans within 30 calendar days after the end of the previous Fiscal Year according to a format agreed upon by USAID and the recipient. For field support, the work plan is negotiated with the AOR in consultation with Mission staff (for field support) and program managers. The Annual Work Plans with the corresponding annual FY budget must

be submitted to the AOR for approval. The Annual Work Plans will be developed in collaboration with USAID. Specific details on the format of the Annual Work Plans will be finalized post- award. Any updates to the PMP and M&E plan must be submitted with subsequent Annual Work Plans and approved by the AOR.

- o Knowledge Management (KM) Plan: The recipient will develop a comprehensive KM Plan within 90 calendar days of signing the Agreement. The exact format and content will be developed in collaboration with the AOR.
- o Gender Strategy: The recipient will be asked to conduct a gender analysis, as necessary, after the signing of the Agreement. This analysis will inform a subsequent Gender Strategy, which will be developed in collaboration with the USAID management team, and finalized within six months of signing the Agreement. The Gender Strategy will inform the project's technical approach as it relates to gender throughout the life of the project and should be reflected as relevant in annual workplans, reporting, M&E plan and PMP indicators.
- o Performance Monitoring Plan (PMP): After the award of Breakthrough-ACTION is finalized, the illustrative first year PMP will be expanded into the PMP for the entire period of performance, in concert with the USAID management team, and must be finalized within 90 calendar days of the award. The PMP must demonstrate familiarity with the program areas and demonstrate how each task relates to indicators and targets.
- o Monitoring and Evaluation (M&E) Plan: After the award of Breakthrough-ACTION is finalized, the illustrative M&E Plan will be expanded into the M&E Plan for the entire period of performance, in concert with the USAID management team, and must be finalized within 90 calendar days of the award. The M&E plan must demonstrate attention to all potential program areas and indicate how data will be collected, analyzed and synthesized routinely.
- o Progress/Performance Monitoring Reports: The recipient will submit an updated report on progress toward agreed performance indicators every three (3) months for the first year and every six (6) months thereafter, based on the PMP to be finalized by USAID in collaboration with the recipient. These reports will be due within 30 calendar days after the end of the reporting period.

Each report should include information on activities completed during the preceding period of performance in all regions as well as any support provided at the national level. Each report may also include the following – this list will be finalized with the USAID management team after signing of the agreement:

- Significant project successes, blogs, press releases videos, and photographs (if available). Photographs should comply with guidance provided in the USAID Graphic Standards Manual and should list information on each photo's subject and location;
- Analysis and explanation of cost overruns or high unit costs (recipients must immediately notify USAID of developments that have a significant impact on award-supported activities);
- A gender section reporting related activities and achievements

- A human subjects protection section reporting related activities and any issues encountered;
- A list of all academic manuscripts developed, accepted and under review and published, and all conference abstracts submitted and accepted. The manuscripts and abstracts (e.g., PDF of the published article, image of the file of accepted posters, etc.) should be submitted along with the report;
- Progress on standard and agreed upon indicators (in Quarterly Reports in the first year and Biannual Reports in remaining project years). This would include a description of tangible results and explanation of quantifiable outputs, is appropriate and applicable;
- Planned activities for the next performance period; and
- List of upcoming events with locations, dates, and main purpose.

Further, 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. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation. Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned, should also be reported to USAID. The recipient is expected to share separate reports of individual studies conducted under this award. A template for the reports will be provided by the AOR.

- o Final Report: Within 90 calendar days after the Completion Date of the Cooperative Agreement, the recipient must submit a Final Report which includes an executive summary of the recipient's accomplishments in achieving results, targets not achieved, lessons learned, challenges and conclusions about areas in need of future assistance; an overall description of the recipient's activities and attainment of results and sub-results by region, as appropriate, during the life of the Cooperative Agreement; an assessment of the progress made toward accomplishing the life of project (LOP) results and expected results and sub-results, and overall project impact; analysis of the significance of these activities; important findings and recommendations; a fiscal report that describes use of funds expended under this award and overall project cost-effectiveness; and a list of all academic manuscripts developed, accepted and under review and published, and all conference abstracts submitted and accepted. The recipient is expected to submit, with the Final Report, a list of all the studies conducted during the LOP and a compilation of all the publications/materials produced. The format of the report will be determined in collaboration with the AOR – it will be submitted electronically only. The recipient will submit a copy to M/FM and provide one copy each to the AO (if requested) and the AOR. One additional copy will be provided in electronic format to the Development Experience Clearinghouse (DEC). Submission instructions can be found at: <http://dec.usaid.gov>.

## **Financial Reporting**

Financial reporting requirements will be in accordance with 2 CFR 200 and 2 CFR 700, which require quarterly completion of the Standard Form (SF) 425. These are due no later than 30 calendar days after the end of each quarter based on the fiscal year. The instructions for

completing the form can be found on: <http://www.sba.gov/content/standard-form-425-federal-financial-report>. Copies of the SF-425 must also be sent to the AO and AOR.

### **Ad Hoc Reports**

The recipient may be requested to submit ad hoc reports on the status of its activities as requested by USAID. This is anticipated to including submissions to the HRIT and/or successor systems of updates, manuscript drafts, IRB submissions, adverse event reporting, presentations, reports, and publications.

### **Environmental Compliance Planning and Reporting.**

The recipient must develop and secure USAID clearance of the Initial Environmental Examination (IEE) prior to funding any country level activities.

- All planned and ongoing country level activities must be included in initial and annual work plans under the Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- This evaluation will be made in collaboration with the USAID AOR, Mission Environmental Officer, and the Bureau for Global Health Environmental Officer (BEO).
- A complete environmental mitigation and monitoring plan (EMMP) will be required, and prepared by the recipient as part of the program work plan and integrated into each annual core work plan. Further, any field support work plan that includes these types of activities requires an EMMP as well. The results of the EMMP will be reported to the AOR and BEO annually.

### **Demobilization Plan**

At least 90 calendar days prior to the Completion Date of the Award, the recipient must submit a Demobilization Plan for the AOR and AO's approval. Within this plan, the recipient must submit a Property Disposition Plan for the phase-out of in-country operation with regard to equipment and supplies (for approval by the AO) and delivery schedule for all required reports or deliverables along with a timetable for completing all required actions (for approval by the AOR).

## **5. Development Experience Clearinghouse (DEC) Requirements**

The assistance provisions required in AAPD 04-06, Submission of Development Experience Documents, in award documents to ensure that contracts and grants/CAs require the implementing partners to submit reports or deliverables they produce under the award to the DEC. AORs or other individuals who are the most familiar with the award will monitor the recipient's compliance with this requirement.

The recipient will submit an original and one copy of the final report to the Technical Advisor (TA) and the AOR and one copy to the USAID Development Experience Clearinghouse. Submission instructions can be found at: <http://dec.usaid.gov>.

For detailed guidance on the submission of copies of reports and other information to USAID's DEC, please review ADS 540.

## **6. Branding and Marking**

It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity.

Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and Marking Plan from only the apparently successful applicant; therefore, applicants do not need to submit a draft Branding Strategy and Marking Plan in the initial applications. The proposed Branding Strategy and Marking Plan may include a request for approval of one or more exceptions to the marking requirements. The AO reviews and approves the apparently successful applicant's Branding Strategy and Marking Plan (including any requests for exceptions), consistent with the provisions "Branding Strategy," "Marking Plan," contained in the Certifications, Assurances, Other Statement of the Recipient and Solicitation Standard Provisions, and "Marking and Public Communications Under USAID funded Assistance" contained in ADS 303, Standard Provisions for Non-U.S. Nongovernmental Organizations and ADS 320, Branding and Marking. This information is also included in Section D of this RFA. More information on Branding Strategy and Marking Plan are available at <http://www.usaid.gov/branding/assistance.html>.

At this time, there are not any written determinations from the USAID Administrator for use of an additional or substitute logo or seal and tagline representing a presidential initiative or other high level interagency federal initiative for this project. However, branding exceptions and waivers can be requested post-award.

## **7. Environmental Compliance Requirements**

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment are considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in 22 CFR 216 and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204, which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision being made and that appropriate environmental safeguards are adopted for all program activities. The recipient's environmental compliance obligations under these regulations and procedures are specified in the attached Initial Environment Examination (IEE). Applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost applications.

It has been determined that activities conducted under this RFA will not negatively impact the environment. In accordance with the 22 CFR 216.22, the project will not have a significant effect on the human, physical and biological environment and qualifies for a "Categorical Exclusion" in the Initial Environmental Examination (IEE), considering the nature of activities anticipated under this RFA. The AOR management team will continue to collaborate with the GH Environmental Officer to ensure the award(s) and associated activities incorporate



environmentally sound principles in implementation, and adhere to this determination of a “Categorical Exclusion.” Please see the above section “Environmental Compliance Planning and Reporting,” as well as Annex G for the Initial Environmental Examination (IEE).

**{END OF SECTION F}**

## **SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)**

**Any questions concerning this RFA must be submitted in writing to Ms. Samantha Corey, Agreement Officer, via email at [scorey@usaid.gov](mailto:scorey@usaid.gov), by the date specified in the Cover Letter.**

Primary Point of Contact:

Samantha Corey  
Agreement Officer  
M/OAA/GH/POP  
[scorey@usaid.gov](mailto:scorey@usaid.gov)

Alternate Point of Contact:

Alisa Dunn  
Agreement Officer  
M/OAA/GH/POP  
[adunn@usaid.gov](mailto:adunn@usaid.gov)

Applications should be submitted via email to [scorey@usaid.gov](mailto:scorey@usaid.gov). Please see Section D Application and Submission Information for more instructions on how to submit an application to this RFA.

**{END OF SECTION G}**

## **SECTION H: OTHER INFORMATION**

### **H.1 USAID Rights**

The recipient is reminded that USAID reserves the right to fund any or none of the applications submitted.

Issuance of this RFA does not constitute an award or commitment on the part of the USG, nor does it commit the USG to pay for costs incurred in the preparation and submission of an application.

### **H.2 Sources of USAID Funding**

The resultant CA will be able to accept all sources of USAID funding (including field support).

## **SECTION I: ANNEXES**

Annex A: Other Bureau for Global Health SBC Projects and Initiatives

Annex B: Useful Resources

Annex C: ADS303mav, Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

Annex D: ADS 303maa, Standard Provisions for U.S. NGO Recipients

Annex E: ADS 303mab, Standard Provisions for non-U.S. NGO Recipients

Annex F: Past Performance Report Short Form

Annex G: Initial Environmental Examination (IEE)/Request for Categorical Exclusion

### Annex A: Other Bureau for Global Health SBC Projects and Initiatives

The following table presents current USAID projects and initiatives mandated to implement SBC research or programs within the health sector. In general, these projects are both smaller in size and narrower in focus than the SBC flagship projects. Specifically, they focus on a single health area, audience, and/or programmatic approach. The flagship SC projects - Breakthrough-ACTION and Breakthrough-RESEARCH - will serve to link and coordinate these diverse SBC investments across health element portfolios. Furthermore, the Breakthrough projects will provide the standard for quality programming in SBC, documenting and promoting best practices to a large global audience of SBC stakeholders, including USAID global and bilateral implementing partners. Breakthrough-RESEARCH will leverage and build upon other GH projects that focus on specific aspects of SBC interventions and research.

| Project                                     | Office | Mechanism/Project Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|---------------------------------------------|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Transform IDIQ (1/14-1/19)                  | PRH    | The IDIQ focuses on applying proven or emergent practices in SBC research and programming, including those drawn from behavioral economics, human-centered design, marketing, and advertising, into USAID-supported programming. Key learnings from Task Orders under this IDIQ will be applied and disseminated through both Breakthrough projects.                                                                                                                                                                      |
| Transform PHARE Task Order (9/15-9/20)      | PRH    | PHARE focuses on developing and testing innovative practices to improve FP/RH behaviors in francophone Africa, with a focus on both FP users and key influencers. Breakthrough-ACTION will apply and promote practices proven under PHARE. Breakthrough-RESEARCH may evaluate specific pilots and/or scale-up of promising approaches.                                                                                                                                                                                    |
| Transform Accelerate Task Order (9/15-9/20) | HIDN   | ACCELERATE is mandated to strengthen capacity of Mission stakeholders in 25 EPCMD countries to implement Accelerator Behavior programming and integrate efforts into Mission strategies. Breakthrough will engage with Missions through either programming or technical assistance (TA), to increase health impact of SBC programs. Accelerate will highlight and promote the results of both Breakthrough-ACTION and Breakthrough-RESEARCH through the online platform which includes an innovation and results library. |
| WHO PIO Grant (9/15-9/17)                   | HIDN   | One activity under USAID's grant to WHO is an Evidence Review to: 1) strengthen WHO guideline development process to better consider multidisciplinary interventions, including SBC interventions; 2) develop a prioritized global research agenda and guidance on prioritized country research agendas; and 3) develop and test reporting standards for intervention research. Breakthrough-RESEARCH will complement this project by furthering the global SBC research agenda.                                          |
| Peace Corps IAA (9/15-9/20)                 | HIDN   | USAID's interagency agreement with Peace Corps will equip Peace Corps Volunteers to promote health behaviors for maternal and child health in 12 of the 24 EPCMD focus countries. Through targeted training events, sub-regional workshops, and customized technical assistance, Peace Corps will introduce staff, Volunteers and their counterparts in these countries to new and effective interventions to                                                                                                             |

|                                                                      |                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                      |                                                     | promote key messages and stimulate behavior change with individuals, families and communities at a Volunteer's site. Breakthrough-ACTION may provide TA and document/disseminate key findings as relevant from this project.                                                                                                                                                                                                                                 |
| White House Social and Behavioral Sciences Team (SBST) (2015-2017)   | HIDN                                                | The SBST assists USAID EPCMD Missions to: 1) develop and implement behavioral interventions; 2) review and design rapid rigorous evaluations; 3) increase focus on Accelerator Behaviors; and 4) translate quality research into best practice. The White House Office of Science and Technology Policy funds the SBST. Both Breakthrough projects will disseminate key findings of this activity, as well as collaborate with the SBST on country programs. |
| Passages (7/15-7/19)                                                 | PRH                                                 | The Passages project fosters normative environments that enable young people, especially very young adults, newly married couples, and first time parents, to use modern FP and achieve healthy timing of first and subsequent pregnancies through scalable programs. Both Breakthrough projects may disseminate and diffuse findings of this project.                                                                                                       |
| Fertility Awareness for Community Transformation (FACT) (10/13-9/18) | PRH                                                 | FACT is mandated to test the following hypotheses: 1) fertility awareness (FA) leads to increases in FP use based on SBCC theory and practice, and 2) increased access to FA-based methods impacts overall contraceptive use. Both Breakthrough projects may disseminate and diffuse findings of this project.                                                                                                                                               |
| Accelerating Scale: Human Centered Design Program (HCD) (7/15-7/18)  | Center for Accelerating Innovation and Impact (CII) | The Accelerating Scale: Human-Centered Design (HCD) program is a contracting vehicle available to USAID's Bureau for Global Health and Missions to incorporate HCD – a proven method often used in the private sector that anchors the design, development and implementation of interventions around human needs – into USAID programs. Both Breakthrough projects may coordinate with and/or disseminate and diffuse findings of this project.             |

Additional information on USAID Bureau for Global Health's SBC priorities and investments can be found at <https://www.usaid.gov/what-we-do/global-health/cross-cutting-areas/social-and-behavior-change>

### Annex B: Useful Resources

- A. USAID Gender Policy (<http://www.usaid.gov/policy/gender-female-empowerment>)
- B. USAID Poverty Policy (Wasn't a specific one on the website but there is this discussion paper: <http://www.usaid.gov/sites/default/files/documents/1870/USAID-Extreme-Poverty-Discussion-Paper.pdf>)
- C. USAID Youth Policy (<http://www.usaid.gov/policy/youth>)
- D. USAID Research Policy  
<https://www.usaid.gov/sites/default/files/documents/15396/USAID%20Scientific%20Research%20Policy%2012-3-14.pdf>
- E. FP2020 Overview: [http://ec2-54-210-230-186.compute-1.amazonaws.com/wp-content/uploads/2013/09/London-Summit-Family-PlanningOverview\\_V1-14June.pdf](http://ec2-54-210-230-186.compute-1.amazonaws.com/wp-content/uploads/2013/09/London-Summit-Family-PlanningOverview_V1-14June.pdf)
- F. 2015 *Acting on the Call: ending preventable child and maternal deaths* Report  
<https://www.usaid.gov/what-we-do/global-health/acting-call-ending-preventable-child-and-maternal-deaths-report>
- G. PEPFAR 3.0: (<http://www.pepfar.gov/documents/organization/234744.pdf>)
- H. Local Systems: A Framework for Supporting Sustained Development  
( <http://www.usaid.gov/sites/default/files/documents/1870/LocalSystemsFramework.pdf>)

**Annex C: Certifications, Assurances, Other statements of the Recipient and Solicitation  
Standard Provisions:**

**<https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>**



**Annex D: Mandatory Standard Provisions for U.S. NGO Recipients:**  
**<https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf>**

**Annex E: Mandatory Standard Provisions for non-U.S. NGO Recipients:**  
**<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>**

### Annex F: Past Performance Short Form

|                                                                    |                                                                                                                                                                                                                                                                                                                               |
|--------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PERFORMANCE REPORT - SHORT FORM</b>                             |                                                                                                                                                                                                                                                                                                                               |
| <b>PART I: Award Information (to be completed by Prime)</b>        |                                                                                                                                                                                                                                                                                                                               |
| 1.                                                                 | Name of Awarding Entity:                                                                                                                                                                                                                                                                                                      |
| 2.                                                                 | Award Number:                                                                                                                                                                                                                                                                                                                 |
| 3.                                                                 | Award Type:                                                                                                                                                                                                                                                                                                                   |
| 4.                                                                 | Award Value (TEC): (if subagreement, subagreement value)                                                                                                                                                                                                                                                                      |
| 5.                                                                 | Problems: (if problems encountered on this award, explain corrective action taken)                                                                                                                                                                                                                                            |
| 6.                                                                 | Contacts: (Name, Telephone Number and E-mail address)                                                                                                                                                                                                                                                                         |
| 6a.                                                                | Agreement/Contract Officer:                                                                                                                                                                                                                                                                                                   |
| 6b.                                                                | Technical Officer (AOTR/COTR):                                                                                                                                                                                                                                                                                                |
| 6c.                                                                | Other:                                                                                                                                                                                                                                                                                                                        |
| 7.                                                                 | Recipient:                                                                                                                                                                                                                                                                                                                    |
| 8.                                                                 | Title/Brief Description of Product/Service Provided:                                                                                                                                                                                                                                                                          |
| 9. Information Provided in Response to RFA/RFP No. :               |                                                                                                                                                                                                                                                                                                                               |
| <b>PART II: Performance Assessment (to be completed by Agency)</b> |                                                                                                                                                                                                                                                                                                                               |
| 1.                                                                 | How well Recipient/Contractor performed:                                                                                                                                                                                                                                                                                      |
| 1a.                                                                | Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness in fixing problems. Comment:                                                                                                                                                                             |
| 1b.                                                                | Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:                                                                                                                                                                                                                                |
| 1c.                                                                | Timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:                                                                                     |
| 1d.                                                                | Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subawardees and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment: |
| 1e.                                                                | Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:                                                                                                                   |
| 2.                                                                 | Specify instances of good or poor performance, especially in the most critical areas. Comment:                                                                                                                                                                                                                                |

3. List significant achievements and/or problems. Comment:

**Annex G: Initial Environmental Examination (IEE)/Request for Categorical Exclusion**

**GLOBAL HEALTH BUREAU  
INITIAL ENVIRONMENTAL EXAMINATION**

**REQUEST FOR A CATEGORICAL EXCLUSION  
Global Health/Breakthrough**

**1. Program/Activity Data**

|                                  |                                   |
|----------------------------------|-----------------------------------|
| Program/Activity Number          | TBD                               |
| Program/Activity Title           | Global Health/Breakthrough        |
| Country/Region                   | Worldwide                         |
| USG Foreign Assistance Framework | All Health Elements               |
| Period Covered                   | August 1, 2016-September 30, 2022 |
| Life of Project Amount           | \$355 Million                     |
| IEE Amendment                    | No                                |
| IEE Prepared By                  | Andrea Ferrand, GH/PRH/PEC        |
| Management Unit Contact Person   | Hope Hempstone, GH/PRH/PEC        |
| Current Date                     | May 26, 2016                      |
| Expiration Date                  | September 30, 2022                |

**2. Additional Elements**

**This document serves to evaluate the potential environmental impacts of the described activities. In accordance with 22 CFR 216, a threshold determination of a categorical exclusion is recommended for the project subject to the following conditions, if applicable:**

**Conditions:**

- 1. The activity/activities covered by this CE is/are to be screened annually as part of the work plan review to ensure that program activities have not changed, resulting in potential environmental impacts and a change of the threshold determination.**
- 2. Integration of compliance responsibilities into prime and sub-contracts, -agreements and grants.**
- 3. Compliance with human subject research requirements.** Any human subjects research requires review in compliance with Federal regulations (22 CFR 225) and USAID policies (ADS303mab, RAA18. Protection of Human Research Subjects and ADS 200 Mandatory Reference, "Protection of Human Subjects in Research Supported by USAID"). The C/AOR, in consultation with the GH BEO, shall assure that the IP and sub-awardees demonstrate completion of all requirements for ethics review and adequate medical monitoring of human subjects who participate in research trials carried out through this agreement. If the C/AOR is unsure whether a research activity qualifies as human subjects research, he or she will consult the GH Cognizant Human Subjects Officer. The GH BEO may request copies of documentation from the C/AOR to demonstrate compliance with applicable requirements of human subject trials. All documentation

demonstrating completion of required review and approval of human subject trials must be in place prior to initiating any trials and cover the period of performance of the trial as described in the research protocol.

### 3. Background and Description of Activities

The overarching goal of this project is to support countries to achieve desired improvements in health and development outcomes, including increasing the demand for FP that is satisfied with modern contraception; ending preventable child and maternal deaths; maintaining an AIDS-free generation; and ensuring a world without malaria. The purpose of this project is to increase the practice of priority health behaviors and promote supportive socio-cultural norms, including gender norms, that enable those practices.

The project will include two mechanisms: Breakthrough Action and Breakthrough Research.

1. Breakthrough Action will contribute to achieving the project purpose by improving the quality and coverage of social and behavior change (SBC) interventions in USAID priority countries through (1) direct implementation of SBC activities and targeted SBC technical support to a range of decision-makers and implementers; and (2) convening a broad range of stakeholders to develop, advocate for, and promote a shared agenda for SBC programming and investment. The mechanism will encompass work in and across USAID health and development sectors, with a specific focus in family planning, HIV and AIDS, malaria, maternal and child health, and emerging pandemic threats.
2. Breakthrough Research will fill identified gaps in the evidence base for SBC through the following key areas of focus: (1) conducting studies to address high-priority questions pertaining to social and behavior change, including impact evaluations, cost-benefit analyses, meta-analyses, and systematic reviews/syntheses; (2) providing rapid secondary analysis of existing datasets, including MIS and DHS, for advocacy and planning purposes; (3) developing, testing, and disseminating new or proven practices in SBCC monitoring and quality assurance; (4) capacity strengthening for research, monitoring, and evaluation; and (5) knowledge management and technical exchange for research, monitoring, and evaluation.

### 4. Categorical Exclusion Justification

| Activity of Activity Category                                                                                                                          | Recommended Determination                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| Implement SBC activities and provide technical support that does not generate healthcare waste.                                                        | 22CFR216.2(c)(2)(i)                          |
| Convene a broad range of stakeholders to develop, advocate for, and promote a shared agenda for SBC programming and investment                         | 22CFR216.2(c)(2)(i)<br>22CFR216.2(c)(2)(xiv) |
| Conduct studies to address high-priority questions pertaining to social and behavior change, and provide rapid secondary analysis of existing datasets | 22CFR216.2(c)(2)(iii)                        |
| Develop, test, and disseminate new or proven practices in SBCC monitoring and quality assurance                                                        | 22CFR216.2(c)(2)(iii)<br>22CFR216.2(c)(2)(v) |
| Build capacity for research, monitoring, and evaluation                                                                                                | 22CFR216.2(c)(2)(i)<br>22CFR216.2(c)(2)(xiv) |
| Manage, curate, and share knowledge,                                                                                                                   | 22CFR216.2(c)(2)(i)                          |

|                                                                         |                     |
|-------------------------------------------------------------------------|---------------------|
| and engage in technical exchange for research monitoring and evaluation | 22CFR216.2(c)(2)(v) |
|-------------------------------------------------------------------------|---------------------|

## 5. Annual Screening

An annual screening must be conducted to determine whether activities under the Global Health/Breakthrough contained in this categorical exclusion justification remain within the project's scope. Changes to the project scope require an environmental review and possible amendment of the categorical exclusion justification to reflect the new project activities. In addition, if the environmental review determines a change in Threshold Determination, additional documentation will be required.



6. Clearance:

|                                                                                   |                |
|-----------------------------------------------------------------------------------|----------------|
|  | <u>6/15/16</u> |
| Ellen H. Starbird<br>GH/PRH                                                       | Date           |

|                              |               |
|------------------------------|---------------|
| <u>KH Hempstone</u>          | <u>6/8/16</u> |
| Hope Hempstone<br>GH/PRH/PEC | Date          |

7. Concurrence:

|                                                                                   |                 |
|-----------------------------------------------------------------------------------|-----------------|
|  | <u>6/8/2016</u> |
| Rachel Dagovitz<br>Global Health Bureau Environmental Officer                     | Date            |

8. Distribution List:

The A/COR or Project Design Team Lead is responsible for scanning the approved document and submitting a copy to the GH BEO and uploading a copy to the USAID environmental compliance database by emailing the document to: [environmentalcompliancesupport@usaid.gov](mailto:environmentalcompliancesupport@usaid.gov)

GH/PRH/PEC: Beverly Johnston

GH/SDAA: Jennifer Adams

GH/DAA: Irene Koek

Africa Bureau BEO: Brian Hirsch

Latin America Bureau BEO (Acting): Jessica Rosen

Europe and Eurasia BEO: Mark Kamiya

Asia Bureau BEO: Will Gibson