



July 11, 2013

Subject: Emerging Priorities in Reproductive, Maternal and Newborn Health
Annual Program Statement # APS-OAA-13-000005
Catalog of Federal Domestic Assistance Number 98.001

APS Issue Date: July 11, 2013

APS Close Date: July 10, 2014

Dear Prospective Applicant:

Pursuant to the authority granted with the Foreign Assistance Act of 1961, as amended, the United States Government, represented by the Agency for International Development (USAID), Global Health Bureau (GH), Office of Maternal and Child Health (MCH), is seeking concept papers from eligible institutions for the implementation of the Emerging Priorities in Reproductive, Maternal and Newborn Health (RMNH) project, detailed in Section I of the APS. This APS is open for one year. The total level of funding allocated for this project will not exceed \$23 million. USAID expects to fund up to three Cooperative Agreements, each valued at approximately \$5 to \$9 million over a five-year implementation period. USAID reserves the right to fully or incrementally fund selected applications, as well as to partially fund selected applications. A cost share minimum amount of 10% of the USAID portion of the cooperative agreement total value is required under this funding opportunity.

Competition under this APS will consist of a two-step process where applicants first submit a concept paper for an initial competitive review. All concept papers will be evaluated for responsiveness to the application criteria specified in this APS. USAID will then request full applications from the applicants that were successful in the first stage. The full application will offer the applicant an opportunity to explain its approach in more detail. All concept papers for the First Round are due by the date and time specified on the next page of this letter. If all the available funds are allocated to awards from the First Round, USAID reserves the right to cancel the Second Round. At the discretion of USAID, concept papers received for the First Round may be considered on a rolling basis or as part of another round of evaluations.

USAID's policy, in compliance with 22 CFR 226.81, does not allow profit under assistance instruments. However, all reasonable and allowable expenses, both direct and indirect, which are allocable to the program activities and are in accordance with applicable cost standards shall be reimbursed under the agreement, as prescribed in 22 CFR 226, as well as 2 CFR 230 for non-profit organizations, 2 CFR 220 for educational institutions, 2 CFR 215 for institutions of higher education, hospitals, and other non-profit organizations, and 48 CFR 31 for profit organizations.

This APS and any future amendments can be downloaded from <http://www.grants.gov>. Prospective applicants who are not able to retrieve the APS from the Internet can request a copy by contacting Boryana Boncheva via email only at bboncheva@usaid.gov.

Issuance of this APS does not constitute an award commitment on the part of the Government, nor does it obligate the Government to pay for costs incurred in the preparation and submission of a concept paper or a full application. Applicants who are considered for an award, and have never received USAID funding before, will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls, and, if necessary, establish an indirect cost rate.

In addition, the Cooperative agreements anticipated by this APS cannot be signed, until funds have been appropriated, allocated and committed through internal agency procedures. While USAID expects that these procedures will be successfully completed, potential successful applicants are considered notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. The successful applicant may not incur any costs, chargeable to this program, before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

DEADLINE FOR SUBMISSION OF CONCEPT PAPERS:

- First Round: August 30, 2013, 5:00 pm Washington, DC Time
- Second Round: July 10, 2014, 5:00 pm Washington, DC Time

Concept papers shall be uploaded to www.grants.gov directly. Concept papers submitted via fax, email, mail service or hand delivery will not be accepted. Applicants who encounter problems with their submission should email the points of contact, listed below before the submission deadline. Applicants should retain a copy of their submission.

Please see [Section IV](#): Application and Submission Information for instructions how to submit the application.

QUESTIONS: Prospective applicants who have questions concerning the contents of the first round of this APS shall submit them via email only, no later than Friday, July 26, 2013, 5:00 pm Washington, DC Time to the [points of contact](#) listed below. All questions, received by the deadline, will be answered via an Amendment to this APS.

POINTS OF CONTACT:

Primary Point of Contact:
Boryana Boncheva, M/OAA/GH
Agreement Officer
bboncheva@usaid.gov

Alternate Point of Contact:
Christie Cooper, M/OAA/GH
Agreement Specialist
ccooper@usaid.gov

Thank you for your consideration of this USAID initiative. We look forward to your participation.

Sincerely,

A handwritten signature in cursive script, appearing to read "Boryana Boncheva".

Boryana Boncheva
Agreement Officer

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ADS	Automated Directives System
APS	Annual Program Statement
ASSIST	Applying Science to Strengthen and Improve Systems
CFR	Code of Federal Regulations
E2A	Evidence to Action
FY	Fiscal Year
GH	Global Health Bureau
GHI	Global Health Initiative
HIDN	Office of Health, Infectious Disease and Nutrition
HRCI	Health Research Challenge for Impact
IEE	Initial Environmental Examination
LARC	Long Acting Reversible Contraceptives
MCH	Office of Maternal and Child Health
MCHIP	Maternal and Child Health Integrated Program
NGO	Non-governmental organization
OMB	Office of Management and Budget
PAC	Postabortion Care
PM	Permanent Methods
POPPHI	Prevention of Postpartum Hemorrhage Initiative
PVO	Private Voluntary Organizations
RNMH	Reproductive, Maternal and Newborn Health
SIAPS	Systems for Improved Access to Pharmaceuticals and Services
TEC	Technical Evaluation Committee
TRAction	Translating Research into Action
USAID	United States Agency for International Development
WHO	World Health Organization

SECTION I: Funding Opportunity Description

A. Background, Goals and Objectives

The U.S. Agency for International Development's Health, Infectious Diseases, and Nutrition Office in the Global Health Bureau (USAID/GH/HIDN) is pleased to announce the Emerging Priorities in RMNH Annual Program Statement (APS). USAID/GH/HIDN requests applications that propose effective approaches to overcome persistent implementation challenges for specific RMNH interventions in order to significantly increase coverage of under-utilized interventions and associated commodities. Bolstering coverage of under-utilized interventions will involve contributing to the development of knowledge, evidence, tools, materials, services, and technical assistance to support USAID MCH priority countries. Although this list may evolve, at present the 24 priority MCH countries are: Afghanistan, Bangladesh, DR Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, Zambia.

1. Background

Global Trends in Child and Maternal Mortality

The world has witnessed an extraordinary 70 percent decline in child mortality over the last 50 years and a reduction in the burden of under-five deaths from nearly 12 million in 1990 to less than 7 million in 2011. The annual rate of reduction in under-five mortality increased dramatically from 2.2 percent during 1990 and 2000 to 3.2 percent between 2000 and 2011. Similarly, there has been almost a 50 percent reduction in maternal deaths as the global maternal mortality ratio declined from 400 to 210 at an annual rate of reduction of 3.1 percent between 1990 and 2010. Over the past 50 years modern contraceptive prevalence has increased 18-fold in developing regions of the world, from 9 percent in the 1960s up to 55 percent by 2011. This has reduced total fertility rates from an average of 6.0 children per woman to 2.6 in less developed countries and 4.1 in the least developed countries. This unprecedented progress has inspired the global community to envision an end to preventable child and maternal deaths within a generation.

The Changing Global Health Landscape

To galvanize global action, the United Nations Secretary General launched the [Global Strategy for Women's and Children's Health](#) in September 2010, identifying six key areas for action: country-led health plans, integrated services, stronger health systems, innovative approaches, human rights and equity and empowerment, and accountability. The Global Strategy spawned other related initiatives including [Every Woman Every Child](#), the [Commission on Information and Accountability](#), the [Independent Expert Review Group](#), the [Innovations Working Group](#), the [UN Commission on Life-Saving Commodities for Women and Children](#) that put a spotlight on 13 under-utilized commodities, the [Born too Soon: the Global Action Report on Preterm Birth](#), the [Family Planning Summit](#), and the [AIDS-Free Generation](#) and the [global plan to eliminate HIV Infections and to keep mothers alive](#). These initiatives align well with the US Government's own focus on the seven principles of the Global Health Initiative: focus on [women, girls, and gender equality](#); encourage [country ownership](#) and invest in country-led plans;

build sustainability through [health systems strengthening](#); strengthen and leverage key multilateral organizations, [global health partnerships](#) and private sector engagement; increase impact through strategic coordination and [integration](#); promote learning and accountability through monitoring and evaluation; and accelerate results through [research and innovation](#) (www.ghi.gov).

In June 2012, the Child Survival Call to Action (www.apromiserenewed.org) challenged the world to reduce child mortality to below 20 child deaths or fewer per 1,000 live births in every country by 2035. Reaching this historic target will save an estimated additional 45 million children's lives between 2010 and 2035, bringing the world closer to the ultimate goal of ending preventable child deaths. Similarly, USAID analysis estimates that reducing maternal death to below 50 per 100,000 live births by 2035 is a reasonable target for achieving an end to preventable maternal death.

This APS will support these recent developments and devote attention to overcome persistent challenges that impede the achievement of these broader goals. Through a separate award, USAID will support a comprehensive flagship program to address coverage and utilization of high impact interventions across the full spectrum of RMNCH, with a specific focus on high burden populations and the innovations, approaches, analysis, and policy environment needed to end preventable child and maternal deaths. Recipients of APS award(s) will work in coordination with the larger flagship program to complement the focused work under the APS awards with the broader support USAID is providing to RMNCH efforts.

2. Goal

Accelerate reductions in maternal and newborn mortality, with increased equity, to end preventable child and maternal deaths.

3. Objective

Increase use of under-utilized or emerging RMNH priority interventions and commodities in the following three technical areas:

- 1) Prevention and management of preterm birth and low birth weight complications;
- 2) Prevention and treatment of preeclampsia/eclampsia; and
- 3) Use of long acting reversible contraceptives (LARCs) and permanent methods (PMs) for post-abortion care clients.

B. Priority Technical Areas

USAID intends to use this APS to shine a spotlight on specific under-utilized and emerging priority reproductive, maternal and newborn health interventions and commodities and, through the support of awards under this APS, to catalyze increased coverage of these interventions in USAID MNCH priority countries. In all three areas of focus – (1) preterm birth and low birthweight, (2) prevention and treatment of preeclampsia/eclampsia and (3) expansion of LARC and PM for postabortion care clients – program efforts will take place within a broader RMNH context. While remaining focused on specific interventions, successful programs will work effectively within the broader RNMH context at the global and country level, linking with

programs and initiatives that address the spectrum of RNMH issues. Low utilization of these services may be due to multiple health systems constraints including lack of awareness of the evidence, lack of national guidelines and standard operating procedures, insufficient number of health providers, inadequate training, weak management systems, lack of medicines and supplies, weak supply system, lack of champions, lack of social participation by communities, or others. Key RMNH commodities are essential components of many of the high impact interventions needed to improve maternal and newborn health and reduce mortality. Despite strong evidence and widespread recognition of the impact of these commodities, barriers to access and availability remain. Challenges include policy, regulatory, manufacturing, supply chain management, provider knowledge, information systems, financing and demand. To address the low coverage of affordable, effective medicines and simple health supplies, the UN Secretary General established the UN Commission on Life-Saving Commodities for Women and Children in 2012 to increase access to 13 [overlooked life-saving medicines and health supplies](#) for the world's most vulnerable people.¹ USAID is participating with the global community to increase utilization of the 13 commodities.

Within this broader context, APS award recipients will tackle their specific interventions and associated commodities, addressing as needed the broader, systemic challenges in order to provide the evidence, implementation approaches, and focus to overcome bottlenecks and increase coverage to improve RMNH outcomes.

1. Newborn Health: Prevention and Management of Preterm Birth and Low Birthweight Complications

Each year, 3 million newborns die within the first month of life accounting for 43 percent of deaths among children under-five years of age.² The leading causes of newborn death are preterm birth complications, intrapartum-related complications or asphyxia, and sepsis. Low birth weight is the most important indirect cause of death with a very high proportion of neonatal deaths occurring among newborns that are born too small.

USAID's newborn program focuses on tackling the major causes of mortality through community-based approaches, quality improvement in health facilities, implementation research, and policy advocacy. USAID supports an integrated approach to delivering maternal and newborn health interventions since maternal health is integral to newborn health outcomes. In addition, USAID places priority on advocacy and social mobilization at the global, national and local levels with the objective of heightening global awareness, mobilizing increased resources, and changing social norms about the unacceptability of newborn deaths.

¹ <http://www.everymaneverychild.org/resources/un-commission-on-life-saving-commodities>

² Levels and Trends in Child Mortality. Estimates Developed by the UN Interagency Group for Child Mortality Estimation. Report 2012

The APS award recipient will reduce newborn mortality by focusing on the evidence, advocacy, and catalytic efforts needed to increase use and coverage of interventions to prevent and manage preterm birth and low birth weight complications. Key interventions known to reduce low birth weight include: prevention and treatment of infectious diseases during pregnancy (malaria, syphilis, STIs, and HIV/AIDS) and prevention and treatment of malnutrition, anemia reduction, asymptomatic bacteriuria screening and treatment, and birth spacing. While the evidence on interventions to prevent preterm birth is less well-defined, risk factors include adolescent and closely-spaced pregnancies, infectious diseases, substance use, and domestic abuse. Evidence on interventions to improve the survival of preterm newborns is much stronger. These include: prophylactic antenatal corticosteroids for women in premature labor, antibiotics for premature rupture of the membrane, Kangaroo Mother Care, optimal feeding, prevention and case management of sepsis and pneumonia, delayed cord clamping, resuscitation; and surfactant therapy.

This program will focus on evidence, advocacy, and catalytic efforts that will be needed to increase use of critical under-utilized preterm/low birthweight prevention and care interventions and associated commodities.

2. Maternal Health: Addressing Pre-Eclampsia/ Eclampsia

Globally, four preventable and treatable conditions result in the majority of maternal deaths – hemorrhage, hypertension, sepsis, and complications due to unsafe abortion.³

USAID’s maternal health program focuses on antenatal, intra-partum, and immediate postpartum care and supports family planning to prevent unwanted pregnancies and abortions. Based on the local causes of maternal death, strength of the health system, and opportunities to expand the use of high impact interventions, USAID emphasizes integration with family planning which reduces unwanted, high risk and too closely spaced pregnancies; strengthening quality care for women during pregnancy and normal labor and delivery, including promotion of quality respectful care; strengthening of emergency response for obstetric complications and life-threatening indirect causes of maternal death; coordinated responsive referral including transport and communications; access to timely appropriate quality care; prevention and treatment of maternal morbidities and disabilities; strengthened health systems; and investment in new frontiers such as mobile technology.

To achieve the program objective with respect to maternal health, this APS will specifically focus on prevention and treatment of preeclampsia/eclampsia. Pre-eclampsia/eclampsia is a pregnancy complication characterized by elevated blood pressure, edema, and protein in the urine. The condition can progress to convulsions and death if not treated. A package of interventions and a multi-pronged approach to prevent, detect and manage pre-eclampsia/eclampsia is required to address this major cause of maternal death. Current WHO

³ Khan et al. WHO analysis of causes of maternal death: a systematic review. Lancet 2006; 367: 1066-74.

recommendations include calcium and aspirin supplementation, screening for hypertension and proteinuria, and management with magnesium sulfate and hypertensive medications.

Even though treatment with magnesium sulfate will reduce the risk of eclampsia by 50 percent and maternal death from eclampsia by 46 percent, its uptake is challenged by providers' fear of the medicine – particularly related to toxicity, inability of midwives/nurses at the lower level facilities to provide a loading dose, lack of availability, or preference for less effective medicines such as diazepam. Anti-hypertensive medications are also critical for management of the high blood pressure associated with severe preeclampsia/eclampsia and are often incorrectly prescribed – a less effective medication, or the incorrect dose used. Aspirin is a new component of the WHO recommendation so is not widely known. This APS will not include calcium supplementation due to the many programmatic questions that remain and screening for proteinuria as there are a number of ongoing efforts in this area.

The program will focus on the evidence, advocacy, and catalytic efforts needed to increase use and coverage of prevention and treatment interventions and associated commodities to reduce pre-eclampsia/eclampsia.

3. Reproductive Health: Increasing the Uptake of LARCs and PMs in Postabortion Care Settings:

Unintended pregnancy, as the root cause of abortion, is a result of women's unmet need for family planning. In 2008, an estimated 38 million abortions were performed in developing countries, nearly all of which (98%) were unsafe. Complications from unsafe abortion result in an estimated 13 percent of all maternal deaths worldwide, most of which occur in developing countries.⁴ Since 1994, USAID has been supporting postabortion care (PAC), which includes treatment (uterine evacuation and management of complications), family planning counseling and service delivery, and where human and financial resources allow, counseling and testing for HIV. Management for incomplete abortion and other complications such as bleeding and infection has been introduced at lower level facilities using manual vacuum aspiration for uterine evacuation, and is considered within the package of BEmONC services.

While PAC includes family planning, many women in developing countries who seek PAC services leave the facility without being counseled or offered family planning. This is especially true for counseling and provision of LARC (IUD, implants) and LAPMs (female or male sterilization). Expanding informed and voluntary access to the most highly effective methods of contraception is an effective means of preventing unintended pregnancy, abortion, repeat abortion, and maternal mortality. Innovative and integrated approaches will be required within existing BEmONC services to ensure and strengthen skills for uterine evacuation, diagnosis and treatment of complications, and providing FP counseling and services, including LARCs and LAPMs, to ensure that all PAC clients leave the facility having received the full set of PAC services.

⁴ Facts on Induced Abortion Worldwide; Guttmacher Institute, January 2012)

The program will focus on the evidence, advocacy, and catalytic efforts needed to increase use and coverage of interventions and associated commodities to improve uptake of postabortion family planning.

C. Expected Outcomes and Illustrative Activities

1. Expected Outcomes

Within **one or more** of the priority areas of preterm and lowbirth weight, pre-eclampsia/eclampsia, and postabortion family planning, the recipient will propose effective approaches to achieve the following outcomes:

- 1) Expanded use of under-utilized interventions, commodities and approaches through catalytic and strategic support in a subset of USAID MCH priority countries.⁵
- 2) Contribution to global evidence on scaling up underutilized interventions in low-resource settings.
- 3) Strengthened capacity of local institutions to support the scale up of the defined interventions.
- 4) Share lessons learned and build knowledge related to scale up efforts of the defined interventions. This will be done in coordination with the knowledge and learning network managed by USAID's flagship RMNCH project and other global knowledge networks.

2. Illustrative Activities

USAID welcomes innovative, new approaches and activities to meaningfully address these persistent challenges. While activities described below are intended to be illustrative, USAID welcomes proposals that describe different approaches to achieve the goal of increased coverage of under-utilized interventions, and may include but are not limited to the following:

- Engage diverse partners by convening a global working group or linking and strengthening an existing global working group.
- Provide support for the development and implementation of an effective model for reducing mortality due to one or more of the three intervention areas of focus in a subset of USAID MCH priority countries. Develop toolkits; monitor global uptake; conduct implementation research to learn and share evidence-based approaches to overcome implementation challenges.
- Strengthen logistics systems to ensure adequate procurement, storage, and distribution of relevant commodities.
- Provide USAID Missions with focused technical assistance to scale up interventions and conduct demonstration and implementation research.

⁵ The Prevention of Postpartum Hemorrhage Initiative ([POPPHI](#)) is an example of how a USAID-funded project played such as catalytic global role.

- Collaborate and coordinate with related USAID-supported partners that are engaged in implementation research and scaling up similar commodities and interventions⁶ and with other relevant non-USAID programs⁷.
- Facilitate regional and national learning processes, conduct implementation research, synthesizing and disseminating program-based learning, and enhance south-south learning.⁸

D. Crosscutting Priority: Women’s empowerment and gender issues

Gender sensitivity and women’s empowerment, as a cross-cutting theme, is crucial for positive outcomes for all awards made under this APS. The first principle of the USG Global Health Initiative is a “focus on women, girls and gender equality.” As noted in the [Supplemental guidance on the gender equality principle in GHI](#), gender-related inequalities and disparities disproportionately compromise the health of women and girls and, in turn, affect families and communities. Opportunities to strengthen positive gender norms may include community-based approaches, such as behavior change communication, community mobilization, advocacy, and engagement of community leaders/role models to improve health for women and girls. An important activity is to build the capacity of individuals, with a deliberate emphasis on women, as health care providers, caregivers, and decision-makers throughout the health systems, from the community to national level. Strengthening the capacity of institutions is also a part of achieving positive outcomes; this includes setting policies, guidelines, norms and standards that impact access to, and quality of, health-related outreach and services -- to improve health outcomes for women and girls and promote gender equality.

End of Section I

⁶ These efforts will be implemented in close coordination and collaboration with relevant USAID’s technical partners. These include the current flagship [Maternal and Child Health Integrated Program \(MCHIP\)](#) and the follow-on flagship RMNCH program. The applicant should also coordinate with other USAID projects that address RMNH innovations, operations research, and health systems strengthening as appropriate. These include: [ASSIST](#) on evidence based quality improvement approaches, [Health Financing and Governance](#) on health systems strengthening, [Deliver](#) and Systems for Improved Access to Pharmaceuticals and Services ([SIAPS](#)) Program on supply chain and logistics strengthening, [Child Survival Grants Program](#), [TRAction](#) and Health Research Challenge for Impact ([HRCI](#)) on operations and implementation research, Evidence to Action ([E2A](#)) on family planning and reproductive health, and [Grand Challenge: Saving Lives at Birth](#) and [Development Innovations Ventures](#), [HealthTech Project](#), and the [Accelovate Project](#) on innovations. The applicant should also coordinate with global partnerships that have been established by USAID, including [Mobile Alliance for Maternal Action](#); [Helping Babies Breathe](#); [Saving Mothers, Giving Life](#); [Survive and Thrive](#); and [mPowering Frontline Health Workers](#)).

⁷ Other non-USAID implementation research programs include those supported by the Bill and Melinda Gates Foundation, WHO, etc.

⁸ Includes other knowledge management programs such as [K4Health](#), [Healthy Newborn Network](#), etc.

SECTION II: Award Information

A. Type of Award

The Government intends to award up to three cooperative agreements – one for each of the three technical areas – (1) preterm birth and low birthweight, (2) prevention and treatment of preeclampsia/ eclampsia and (3) expansion of LARC and PM for postabortion care clients. Each of the cooperative agreements will be awarded for a five-year implementation period. Only responsible applicants whose applications meet the requirements of this APS, and are the most advantageous to the Government will be considered for award. The number of awards is subject to change. Accordingly, as a result of this APS, USAID reserves the right to sign multiple cooperative agreements (for three or two of the technical areas), or a single cooperative agreement for just one of the technical areas, or no awards at all.

B. Substantial Involvement

USAID's substantial involvement during the implementation of the program will be limited to approval of the elements listed below:

1. Annual Workplans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols, international meeting preparation and changes to any activities, locations, beneficiary population under the cooperative agreement;
2. Key Personnel - Approval of key personnel to include the following positions:
 - a. Project Director
 - b. Senior Program Officer/Manager
3. Monitoring and Reporting - 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 22 CFR 226.51.
4. Subawards - All subawards not included and approved in the original Cooperative Agreement require approval per 22 CFR 226.25(c)(8).

C. Total Estimated Amount

The total funding available for this APS is \$23 million - approximately 80% will be funded by the Bureau for Global Health and 20% will be field support from Missions. Contingent on availability of funds, USAID expects to award up to three cooperative agreements, each valued at approximately \$5 million to \$9 million during their five-year implementation period.

D. Anticipated Award Schedule

It is anticipated that the awards, resulting from the first round of applications, will be announced by March 31, 2014, and the awards from the second round will be made by March 31, 2015. The period of performance for each cooperative agreement will start from the date of award and will continue for 5 years, subject to availability of funds.

E. Authorized Geographic Code

The authorized geographic code for the procurement of services and commodities is 935.

F. Benefiting Geographic Areas

Emerging Priorities in RMNH will provide global leadership and will implement activities in countries with the greatest magnitude and severity of child, neonatal, and maternal mortality; primarily in Asia, Sub-Saharan Africa, and a limited number of countries in the Latin American and Caribbean region. The list of priority countries might evolve but at present they are: Afghanistan, Bangladesh, DR Congo, Ethiopia, Ghana, Haiti, India, Indonesia, Kenya, Liberia, Madagascar, Malawi, Mali, Mozambique, Nepal, Nigeria, Pakistan, Rwanda, Senegal, South Sudan, Tanzania, Uganda, Yemen, and Zambia.

G. Program Income

If the successful applicant is a non-profit organization, any program income generated under the award will be added to USAID funding and used for program purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award will be deducted from the total program cost to determine the amount of USAID funding.

End of Section II

SECTION III: Eligibility Information

A. Eligibility Criteria

To be eligible for a Cooperative Agreement under this APS, an organization must be a U.S. PVO, a U.S. NGO or a local NGO:

1. **U.S. PVOs** – U.S. non-governmental organizations that meet the Conditions of Registration as outlined in 22 CFR 203.

To register with USAID as a U.S. PVO, please refer to USAID’s website at www.usaid.gov, USAID Keyword: PVO Registration, or <http://idea.usaid.gov/ls/pvo> for complete information and guidance.

2. **U.S. NGO** – other U.S. non-profit NGOs that do not meet the definition of a U.S. PVO, as well as U.S. commercial organizations.
3. **Non-U.S. NGO** – either non-profit or for profit, that is not affiliated with a foreign government.

Each Recipient must be a responsible entity. The Agreement Officer (AO) may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine 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 program. Applications from individuals will not be considered for award.

B. Cost Share

USAID has established a cost share minimum of 10% of the projected total USAID amount for each 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. For guidance on cost sharing in grants and cooperative agreements, please see [22 CFR 226.23](#).

C. Environmental Compliance Requirements

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in [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 to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient’s environmental compliance obligations under these regulations and procedures are

specified in the following paragraphs of this APS. See Section VI. Award Administration Information for more information.

2. In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
3. No activity funded under this APS will be implemented unless an environmental threshold determination, as defined by [22 CFR 216](#), has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation”).

End of Section III

SECTION IV: Application and Submission Information

A. Address to Request Application Package

The preferred method of distribution of USAID assistance information is via the Internet. This APS contains all necessary information, web links, and materials to submit a complete concept paper and if invited – a full application. Any additional information regarding this APS will be furnished through amendments and will be communicated through Grants.gov. This APS and any future amendments can be downloaded from the World Wide Web Address at <http://www.grants.gov>. For instructions on how to register, see [Annex A](#).

B. Application Process

Applications received under this APS will be reviewed based on open competition, to the maximum extent practicable, and in accordance with the technical criteria set forth in the APS. Competition under this APS will consist of a two-step process where applicants first submit a concept paper for an initial competitive review, and those successful in the first stage (i.e., selected concept papers) will then be invited by USAID to submit a full application. To be considered for funding under this APS, applications must meet all of the requirements for the concept paper and for the full application respectively.

C. Application Submission

1. In order to be considered for the first round of evaluations, concept papers shall be submitted electronically before August 30, 2013, 5:00 pm Washington, DC Time to www.grants.gov. Hard copies, whether hand delivered or by postal mail, will not be accepted. The Grants.gov system date and time stamp will be used to determine the timeliness of the concept papers submissions. Applicants are advised to be cognizant of the time concept papers are submitted. Submissions after August 30, 2013, 5:00 pm Washington, DC Time will be considered for the second round of evaluations, if funding is available and a second round is needed. Applicants, who encounter any problems with their www.grants.gov submission, should email the [points of contact](#) for this APS before the submission deadline, explaining the circumstances.
2. Each eligible applicant may submit one application for one or more of the priority technical areas, described in [Section I.B](#). Each award, whether it includes one or more technical areas will be for a five-year period of performance and a total estimated amount of approximately \$5 million to \$9 million.
3. Issuance of this APS 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 applications.
4. To facilitate the competitive review of the applications, USAID will only consider concept papers and applications conforming to the format prescribed in this APS.

D. Required Contents and Format of the Concept Papers

1. General format:

The Concept Paper must be written in English on letter size format (8 inches x 11 inches) with 1-inch margins, using Times New Roman 12-point font. The document should not exceed six (6) pages. The pages of the document should be numbered for easy reference.

2. Contents of the Concept Paper:

Cover Page – 1 page

- APS No.: APS-OAA-13-000005.
- Project title: Emerging Priorities in Reproductive, Maternal and Newborn Health. If the applicant would like to propose alternative title to the program, that title should also be included on the Cover page.
- Name and address of the applicant organization.
- Type of organization (e.g., for-profit, non-profit, university, etc.).
- Point of contact at the applicant organization: name, telephone number and e-mail address. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, and if not, the contact information for the person with authority to negotiate should also be listed.
- Identify the technical area(s) from [Section I.A.3](#) that the concept paper will focus on.
- Names of any subpartners.
- Signature of the authorized representative of the applicant.

Technical Information – 3 pages

- Discussion of objective and outcomes for the selected technical area,
- The implementation method or approach for achieving the outcomes.
- Learning agenda and knowledge management approach.
- Strategy for strengthening local capacity.
- Gender equality considerations.
- Roles and responsibilities of the prime applicant and each of the subpartners.

Supplemental Information – 1-2 pages

- Estimated cost summary, direct, indirect and cost share, including brief cost breakdown by cost category, as well as the estimated cost and cost share contributions of subpartners.
- Brief description of the applicant and subpartners' experience in the technical area.

Concept Papers will be evaluated according to the criteria described in [Section V](#). If applicants are successful at the Concept Paper stage, USAID will request the applicant to submit a Full Application in line with the format described below and any additional instructions from the Agreement Officer. Applicants may not submit a full application unless requested to do so by the Agreement Officer. Instructions from the Agreement Officer will include a deadline for the submission of the full application. The full application will offer the applicant an opportunity to explain the technical approach in more detail. The full applications will be evaluated according to criteria described in [Section V](#).

E. Required Format and Contents of the Full Application

A complete application shall consist of the following documents:

1. Technical Application:
 - a. Cover Page;
 - b. Table of Contents;
 - c. Acronym List;
 - d. Executive Summary;
 - e. Technical Approach;
 - f. Management Plan Section;
 - g. Institutional Capability;
 - h. Personnel Section;
 - i. Performance Monitoring and Evaluation Section;
 - j. Past performance Section;
 - k. Technical Attachments:
 - i. Past Performance References: three Past Performance Short Forms, for the applicant and for each sub-partner (see [Annex C](#));
 - ii. Signed letters acknowledging intent to collaborate, from any stated partners or sub-awardees;
 - iii. Personnel Matrix;
 - iv. Resumes;
 - v. Letters of Interest to Participate/ Letters of Commitment.
2. Cost Application:
 - a. Cover Page;
 - b. Completed SF 424 Form(s):
 - i. SF-424, Application for Federal Assistance;
 - ii. SF-424A, Budget Information – Non-construction Programs, and
 - iii. SF-424B, Assurances – Non-construction Programs.
 - c. Detailed Budget in Excel Format;
 - d. Budget Narrative in Word Format;
 - e. Certifications and Representations;
 - f. Supporting documentation (if applicable).
3. After the review of the full applications and upon notification from the Agreement officer, only the apparently successful applicants will be asked to submit Branding Strategy and Marking Plan. The Branding Strategy and Marking Plan are not required by the APS closing date.

Further specification of the contents that are required in each of these documents is described below.

4. Required Format of the Full Application

All information must be presented in the English language, using the Letter Format 8 ½” x 11”, 12-point font using fixed pitch spacing per inch and 1” margins. Budgets, charts and tables may be in a slightly smaller font (10 point) with smaller margins, however, must be easily readable. The pages of the application should be numbered for easy reference.

F. Preparation Guidelines for the Technical Application

Technical applications must be specific, complete and concise. Applications must outline in sufficient detail the objectives for the chosen technical areas, the methods and specific activities of intervention, as well as the expected outcomes. Applicants must demonstrate their capabilities and expertise with respect to achieving the objective(s). Applicant’s plan and indicators for monitoring progress towards achieving the project goals should be clearly communicated.

Technical applications are limited to the following page limit:

- 10 pages if the application addresses only one technical area,
- 15 pages if the application covers two technical areas, and
- 20 pages if the application is for three technical areas.

The cover page, table of contents, table of acronyms, executive summary, attachments, figures and tables are excluded from the page limit. Unless explicitly noted below, there is no page limit for each section of the Technical application. Detailed information should be presented only when required by specific APS instructions. Applicants may use attachments for relevant supplemental information such as resumes, a list of contracts, grants, and cooperative agreements, detailing any relevant past performance information or letters of collaboration of any potential partners. Resumes for proposed personnel cannot exceed two pages each. Attachments to the technical application that are not listed in [Section IV.E](#) of this APS will not be accepted.

The application must take into account the technical selection criteria and evaluation procedures found in [Section V](#). To facilitate competitive review of the applications, USAID will consider only applications conforming to the format prescribed below. The technical application cannot contain any cost information. USAID may incorporate the technical application as part of the resulting cooperative agreement award.

1. Cover page (1 page)

Include APS Number, project title, proposed alternative title (if applicable), name of the organization(s) submitting the application, name of authorized official, telephone numbers, e-mail, and mailing address for contact.

2. Executive Summary (1 page)

This section should be a succinct summary and contain information that the applicant believes best represents its proposed program. In addition to the problem statement, the applicant should provide brief information regarding potential subpartners.

3. Technical Approach

This section must address in depth the program objective for the technical area(s) from [Section I](#) that the applicant will focus on during implementation.

Applicants must describe in sufficient detail the following information:

- Specific interventions geared towards achieving the project objective(s);
- Expected project impact;
- Sustainability plan for long term continuation of activities without USAID support after the end of the program;
- Learning Agenda and proposed Knowledge Management approach;
- Strategy for strengthening local capacity;
- Strategy for addressing gender integration issues;
- Implementation schedule.

4. Management Plan

The applicant is expected to provide an overview of their management approach. The management plan should be consistent with the program's technical complexity, and should include a clear strategy for management of the overall operations, the country-specific activities as well as the subpartner organizations or local groups.

The applicant may choose to include:

- An organizational chart, outlining the technical and administrative roles and responsibilities, as well as the lines of authority and reporting within the project.
- Communication and engagement plan with USAID headquarters and field missions.
- Explanation how responsibilities will be assigned and managed across all operational units within the overall organizational structure of the applicant organization and any named subpartners, addressing how each will be utilized to take advantage of their strengths, while maximizing the cohesiveness of overall project activities.
- Plan for coordination with other organizations, including other USG agencies, international organizations, and development partners that are working in subject areas relevant to the project.
- Plan for engaging local and regional organizations during the implementation of the project. Letters confirming such collaborative relationships shall be provided as an attachment.
- Description of specific approaches for cost containment, avoidance of duplication of effort, and use of technology.

5. Institutional Capability

This section of the application should provide information about the applicant's capability to effectively and efficiently address the objectives and achieve the expected results of the program. The applicant should demonstrate their ability to plan, implement, and support complex programming and the range of activities within the scope of the project in cost effective manner.

6. Personnel

a. Key Personnel

The **Project Director's** primary responsibility will be global technical leadership, coordination and collaboration with all implementing partners, and strategic oversight of all activities to achieve project objectives. The required skills, expertise and experience of the Project Director are: a senior manager with an advanced degree in the health sciences with at least 10 years of experience leading, managing and implementing international projects in developing countries; in depth experience in the selected technical area; and experience interacting with U.S. Government agencies.

The **Senior Program Officer/Manager** will support the management and implementation of project activities including the monitoring and evaluation plan, monitoring the global uptake of the intervention(s), and implementation research. The required skills, expertise and experience of the Senior Program Officer/Manager are: an advanced degree in the health sciences, with at least 5 years of experience in implementing and managing international development projects; and experience in evaluation/implementation research.

The selected candidates for both key personnel positions should have strong management, interpersonal, communication and facilitation skills, as well as the ability to network and communicate with a wide range of stakeholders.

Applicants may suggest and justify alternative key staff positions, if they feel that a different structure is more conducive to achieving the program's specified objectives, while still addressing the full range of capabilities/responsibilities described in the Key Personnel positions above.

b. Other Proposed Personnel:

The applicant should provide sufficient detail to illustrate the staffing pattern, by including information regarding the number and type of positions that will enable the organization to meet the technical and management requirements and principal challenges, and at the same time ensure efficiency and cost containment.

c. Short Term Technical Assistance and Home Office Support

Short-term staff or consultants may be proposed for particular specialized areas of work and short- to medium-term assignments. The Contractor will provide home office technical, logistical and administrative staff necessary to support the program implementation.

The personnel section of the application should include:

- Brief statements of major duties for each of the key personnel and any other full-time senior program (i.e. non-administrative) staff proposed.

- Experience and academic background for the key personnel and other senior program staff. Resumes will be limited to 2 pages in length and should be included as attachment. Letters of commitment for key personnel should also be included as attachment.
- A matrix mapping proposed personnel (including key, other full-time, and as-needed) against the core technical elements of the project.

7. Performance Monitoring and Evaluation

This section should provide an overview of the monitoring and evaluation indicators and activities of the proposed program. The applicant should describe the indicators for progress towards achieving the program objective(s) and explain how current data on these indicators will be collected, analyzed and used for program management. In addition, the applicant may propose illustrative country-specific results that will be achieved as a result of the program activities.

8. Past Performance

This section of the application should provide information about the applicant and any sub-partners' previous experience that demonstrates a proven track record of developing and effectively implementing programs of similar complexity and scope.

The application should also include as an attachment three (3) short past performance reference forms (please see [Annex C](#)) for any similar programs implemented by the applicant and its sub-partners over the past three years. Please note that USAID reserves the right to obtain past performance information from other sources, including those not named in this application.

G. Preparation Guidelines for the Cost Application

USAID will evaluate the cost/business application separately for cost effectiveness and realism. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The cost/business application should illustrate the 5-year period of performance, using the budget format shown in the SF-424A. The anticipated amount of each award will be between \$5 million and \$9 million.

If the applicant has established a consortium or another legal relationship among its partners, the Cost application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the applicants including identification of the applicant with which USAID will treat 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.

The Cost Application should contain the following sections:

- 1) Title Page
- 2) SF 424 Forms
- 3) Budget

- 4) Budget Narrative
- 5) Certifications, Assurances, and Representations
- 6) Supporting documentation (as applicable)

1. Cover page

Include APS Number, project title, proposed alternative title (if applicable), name of organization(s) submitting application, name of authorized official, telephone numbers, e-mail, and mailing address for contact.

2. SF 424 Form(s)

Applicant shall submit the application using the SF-424 series:

Instructions for SF-424	http://www.grants.gov/assets/SF424Instructions.pdf
SF424 ⁹	http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf
Instructions for SF-424A	http://www.grants.gov/assets/InstructionsSF424A.pdf
SF 424A	http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf
Instructions for SF-424B	http://www.grants.gov/assets/InstructionsSF424B.pdf
SF 424B	http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf

Failure to accurately complete these forms could result in a non-funded application.

3. Budget

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and shall be broken out by project year, including itemization of the federal and non-federal (cost share) amount. The Budget will include the following worksheets or tabs, and contents, at a minimum:

- a) **Summary Budget**, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential subrecipients for the entire 5-year period of the program.
- b) **Detailed Budget**, including 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 program.
- c) **Subpartners' Detailed Budgets** for each subpartner, for all federal funding (core and field support) and cost share, broken out by budget category and by year, for the entire implementation period of the program.

The Detailed Budgets shall contain the following budget categories and information, at a minimum:

⁹ Please disregard the expiration date 03/31/2012 as the form is still valid.

Salaries and Wages should be proposed in accordance with the applicant's personnel policies and should include as much as possible information about the personnel's name, position, status, salary rate, level of effort and salary escalation factors. Please explain your assumptions in the Budget Narrative.

Fringe Benefits (if applicable). Please provide adequate justification for the proposed rate. If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;

Travel, including information about the number of trips, domestic, regional, and international, the estimated costs, the purpose of the trip, the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per Diem shall be based on the applicant's travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain your assumptions in the Budget Narrative.

Equipment, including information on estimated types of equipment, models, cost per unit and quantity.

Supplies related to this activity.

Contractual, identifying any goods and services being procured through a contract mechanism.

Other Direct Costs including but is not limited to: communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's indirect rates). The narrative shall support and provide additional information for all other direct costs.

Indirect Costs: The applicant shall support the proposed indirect cost rate with a letter from a cognizant U.S. Federal audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information for USAID to determine the reasonableness of the rates (For example, a breakdown of the costs comprising the base and the pool for each one of the proposed indirect rates, the method of determining the rates, etc.).

4. Budget Narrative Contents

To support proposed costs for the project, all applicants must provide a detailed Budget Narrative that explains how the costs were estimated and the methodologies used. The Budget Narrative must provide detailed explanation of all costs and the reasoning behind any assumptions:

- a) All federal costs associated with the program.
- b) All costs proposed by each sub-partner.

- c) The costs associated with 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 program.
- e) Potential contributions of non-USAID or private commercial donors to this program (cost share) in accordance with 22 CFR 226.23 and/or 2 CFR 215.
- f) Procurement plan for commodities, goods and services (if applicable).

5. Certifications, Assurances, and Representations

Applicants must provide Certifications, Assurances, and Representations using the template provided in [Annex B](#) of this APS.

End of Section IV

SECTION V: Application Review Information

Applications (both Concept Papers and Full Applications) received in response to this APS will be evaluated by the USAID Technical Evaluation Committee (TEC) in accordance with the selection criteria detailed below.

After a careful and thorough review of all concept papers, received by the due date for the first round, applicants, whose concept papers are most advantageous to the Government, considering both technical and cost criteria, will be invited to submit full applications for their programs.

After a careful and thorough review of all full applications, received during the first round, up to three awards will be made to the responsible applicants, whose full applications offer the best solutions to address the objectives of this program, considering both technical and cost criteria. Awards may be made without additional discussions. If there is a need for a second round of applications, the Government will review concept papers received after the close date for the first round and, similarly to the process for first round, will invite the applicants presenting the best solutions to submit full applications. Up to three cooperative agreements will be awarded as a result of both rounds.

The evaluation criteria can help the applicants identify the significant matters that they should address in their applications, as the same criteria will be the standard against which all applications will be evaluated. The evaluation criteria are listed below in a descending order of importance. The subcriteria have equal importance, unless it is indicated otherwise.

All technical evaluation criteria, when combined, are significantly more important than cost. Cost will be evaluated for general reasonableness, allowability, and allocability only for the technically acceptable applications.

A. Selection Criteria for Concept Papers

1. Program significance, objectives, methodology and impact.

- The concept paper clearly addresses the objective and outcomes of the selected technical area, outlined in [Section I](#) of this APS. The program is aligned with USAID's development objectives and other programs in the same technical or geographical area.
- The program implementation approach, analyses and timeline are practical and feasible from a technical perspective and in terms of achieving the program objective and outcomes.
- The overall approach is creative, innovative and offers solutions to persistent challenges in selected technical areas.
- The application provides a feasible approach for catalyzing the scale up of under-utilized interventions and commodities globally and in priority countries.
- The application includes relevant and technically sound implementation research to support the scale up of under-utilized intervention and commodities, and a vision for shared learning and disseminating knowledge.

- The application aligns with USAID’s strategic goals for gender integration.
2. Institutional capacity, collaborations and management approach – the prime applicant and collaborating institutions have adequate management and institutional capacity to successfully conduct and manage the program.
 3. Strengthens local capacity – the application clearly describes applicant’s vision for building local capacity to sustain scale up efforts related to underutilized interventions and commodities.

B. Technical Evaluation Criteria for the Full Application

If selected and invited to submit a full application, applicants should organize the narrative portions of their application in the same order as the broad evaluation criteria and should refer to detailed guidelines found in [Section IV.F](#) Preparation Guidelines for the Technical Application.

1. Technical Understanding and Approach

a. Strong potential for global impact and scale:

- Demonstrated understanding and analysis of available evidence on the selected technical area and the overall strategy and approaches to achieve the project objective and outcomes.
- The application clearly addresses the objective and outcomes of the selected technical area outlined in [Section I](#) of this APS and describes approach that could have important impact globally and in the USAID priority geographical area(s)
- The application provides a feasible approach for catalyzing the scale up of under-utilized interventions and commodities.
- The overall approach is creative, innovative and offers solutions to persistent challenges in focus areas.
- Addresses gender issues in a substantive and integrated manner during the design, implementation and monitoring and evaluation stages of the program

b. Includes implementation research and supports shared learning:

- Vision for integrating relevant, technically sound implementation research to evaluate and inform the process of scaling up under-utilized interventions and commodities.
- Clear plan for catalyzing, undertaking or supporting activities to generate internationally credible evidence to influence global policy and overcome barriers to policy change.
- Well-defined approach to collaboratively share and disseminate knowledge learning and knowledge sharing activities, and learning networks and/or working groups
- Extent to which the approach includes a clear strategy over the life of the program for strengthening local capacity to sustain scale up efforts related to underutilized interventions and commodities in the selected technical area.

2. Management Plan

Program Management will be evaluated with a higher level of importance than Administrative Management.

a. *Program Management*

The application describes effective management and partnerships for implementation of the program.

b. *Administrative Management*

The proposed approach demonstrates clear lines of authority and communication, as well as effective strategies for financial management and containment of costs.

3. Institutional Capability

The application demonstrates institutional capability to plan, implement, and support complex programming and the range of activities outlined in the RFA; produce results and innovations in health in developing countries; and work with multiple partners and to report results and financial information to each partner and to Missions and USAID. The application further demonstrates the institutional capability of the proposed prime recipient to manage the proposed institutional relationships including the ability to identify subcontractors and sub grantees; allocate the time each partner will devote to the project; and minimize non-productive costs.

4. Personnel

Key Personnel will be evaluated with a higher level of importance than Other Proposed Personnel.

a. *Key Personnel*

The application demonstrates that proposed key personnel have requisite experience and expertise to meet or exceed the attributes specified in the application, and breadth and depth in technical expertise in the selected technical area, and experience in management, design and implementation of complex programs; and individually and collectively, strong leadership skills and ability to build collaborative relationships.

b. *Other Proposed Personnel*

The staffing pattern and the number and type of positions proposed are responsive to technical and management requirements and principal challenges, with an optimal configuration for efficiency and cost containment. The application's staffing plan demonstrates that the proposed specialists have the full breadth of technical skills needed to achieve the main results.

5. Performance Monitoring and Evaluation

Technically appropriate and feasible monitoring and evaluation strategy, targets and indicators to monitor progress in achieving project outcomes.

6. Past Performance

In addition to the technical evaluation criteria listed above, applications will be evaluated for the extent to which the application demonstrates the successful implementation by the prime and any subpartners of programs similar in magnitude, complexity, objectives and context. Firms lacking relevant past performance history shall be given a “neutral” past performance rating that neither rewards nor penalizes those applicants.

C. Cost Effectiveness and Cost Realism

Once the technical review of the full applications is completed, USAID will evaluate the budgeted costs for reasonableness and realism. In the event that the responsive technical applications are ranked/scored substantially the same, cost will be the determining factor for award.

Cost sharing is an important element of the USAID-recipient relationship and applicant’s compliance with [Section III.B](#) will be a consideration for award. The cost application should clearly demonstrate applicant’s plan for providing 10% cost share. The proposed contributions should meet the standards set in [22 CFR 226.23](#) for U.S. organizations or the Standard Provision “Cost Share” for non-U.S. organizations.

End of Section V

SECTION VI: Award and Administration Information

A. Award Notices

1. Applicants will be notified in writing via email of their application status (successful or unsuccessful) upon completion of the review process.
2. Applicants notified of a successful application status will be requested to provide a Branding and Marking Plan. Notification of successful application status is *not* an authorization to begin performing proposed activities or performance in general.
3. Applicants notified of an unsuccessful application, either at the concept paper stage or the full application stage, will not be considered for award under this APS. Applicants who are notified that their full application was unsuccessful, are advised that a debriefing may be requested within 10 working days after the applicant receives the notice. The unsuccessful applicant may send a written request for a debriefing to bboncheva@usaid.gov.

B. 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.

C. Standard Provisions

If awarded a cooperative agreement under this APS, the Recipient shall adhere to and govern itself under the Mandatory Standard Provisions and the Required as Applicable Provisions for U.S. NGOs and Non-U.S. NGOs. Links to these Standard Provisions can be found in [Section VIII.B. Other Information, Regulations and References](#).

In addition to the Mandatory Standard Provisions, mentioned above, the following provisions shall also apply and is therefore incorporated into all awards made under this APS.

BRANDING STRATEGY - ASSISTANCE (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the

Agreement Officer will make the applicant ineligible for an award.

- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
 - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID prefers to have the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at transition.usaid.gov/branding, included as part of the program or project name.
 - (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.
 - (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 consider the Branding Strategy's adequacy in the award criteria. The Branding Strategy 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 Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

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 landmark, 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://transition.usaid.gov/branding>.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with

the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

- e. The Marking Plan must include all of the following:
- (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
 - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
 - (2) A table on the program deliverables with the following details:
 - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.

- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
- (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Strategic 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 in the award criteria, and will approve and 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.

**CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) –
SOLICITATION PROVISION (FEBRUARY 2012)**

- a. An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—
 - (1) Must not be required, as a condition of receiving such assistance—
 - (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
 - (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
 - (2) Must not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

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

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

(END OF PROVISION)

2. Environmental Compliance Terms

Environmental Compliance

An Initial Environmental Examination (IEE) has been approved for this activity (see Annex D). The IEE covers activities expected to be implemented under cooperative agreements awarded under this APS. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this APS.

1. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under cooperative agreements awarded under this APS to determine if they are within the scope of the approved Regulation 216 environmental documentation.
2. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
3. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.
4. When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:
 - a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
 - b) Integrate a completed EMMP or M&M Plan into the initial work plan.
 - c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

(END OF PROVISION)

3. Implementation and Procurement Reform

The successful applicant is expected to fully support USAID's Implementation and Procurement Reform objectives for greater sustainability and long-term effectiveness of the program.

Building institutions that can continue to provide needed goods and services in country after a project or program ends is a critical part of development. A broader range of local partners can also help USAID and other stakeholders benefit from new ideas and approaches. Local organizations may also have a better understanding of the local economic and political context and environment and greater sensitivity to social and cultural issues for greater empowerment of their clients. USAID wants to help assisted countries develop a vibrant civil society and private sector. Therefore, our partners are encouraged to partner with local organizations to implement project activities throughout the duration of project activities and to ensure that project activities strengthen the capacity of local organizations either directly or indirectly.

4. Reporting

1. Reporting Requirements:

- a. Annual Reports: to be submitted 90 calendar days after the award year which is in accordance with 22 CFR 226.51(b).
- b. Final Evaluation Report: to be submitted 90 calendar days after the expiration or termination of the award which is in accordance with 22 CFR 226.51(b).
- c. Financial Reporting: in accordance with 22 CFR 226.52, the SF 425 and SF 272 will be required on a quarterly basis.

End Section VI

SECTION VII: Agency Contacts

The Applicant may contact the following USAID personnel in writing via email regarding this APS:

Primary Point of Contact:

Boryana Boncheva

Agreement Officer

M/OAA/GH/HIDN

bboncheva@usaid.gov

Alternate Point of Contact:

Christie Cooper

Agreement Specialist

M/OAA/GH/HIDN

ccooper@usaid.gov

End of Section VII

SECTION VIII: Other Information

A. USAID Rights and Funding

The Government may (a) reject any or all applications; (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in the applications received.

Issuance of this APS 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/or submission of an application. Applicants who come under consideration for an award that have never received USAID funding will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls, and establish an indirect cost rate (if applicable).

B. Regulations and References

[Code of Federal Regulations, Title 22 Foreign Relations, Chapter II - Agency for International Development](#)

[USAID Policies and Procedures](#)

[Mandatory Standard Provisions for U.S., Nongovernmental Recipients](#)

[Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients](#)

[2 CFR 230 - Cost Principles for Non-Profit Organizations \(OMB Circular A-122\)](#)

[2 CFR 215 - Uniform Administrative Requirements for Grants And Agreements with Institutions Of Higher Education, Hospitals, and Other Non-Profit Organizations \(OMB Circular A-110\)](#)

[FAR Part 31](#)

[Application for Federal Assistance \(SF-424\)](#)

[Budget Information for Non-Construction Programs \(SF-424A\)](#)

[Assurances for Non-Construction Programs \(SF-424B\)](#)

End of Section VIII

ANNEX A: Grants.gov Registration Process

Before submitting an application under this APS, it is highly recommended that applicants read the entire [Section IV](#), Application and Submission Information in this APS. Reviewing these sections thoroughly will assist an applicant in submitting a complete, full application.

Register Online at Grants.gov

New Applicants Applying to Grants.gov:

It is **strongly encouraged** that new organizations immediately begin the 5-step Grants.gov registration process (listed below), while simultaneously completing the application package. The registration process may take up to two weeks to complete. USAID understands that delays in the registration process may be beyond your control. If an organization has begun the registration process but experiences delays that make it difficult for to meet the application deadline, contact the APS POC(s) who will work with you to find a solution. If an organization is having difficulties, contact the Agency POC(s) listed in the APS as soon as possible.

[Register as an organization](#) on Grants.gov if you are not already registered. All organizations must register. See below for a brief overview of the registration steps. Grants.gov is also available to lead you through the process.

STEP 1: Obtain a Data Universal Number (DUNS)

The Data Universal Number System (**DUNS**) number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. Most large organizations, libraries, colleges and research universities already have DUNS numbers. Ask your grant administrator or chief financial officer to provide your organization's DUNS number or search online by using the [DUNS search](#).

If your organization does *not* have an existing DUNS number, you will need to request one. You can request a DUNS Number [here](#).

STEP 2: Register Your Organization with the System for Awards Management (SAM)

You must also register with [SAM](#). SAM is the primary registrant database for the U.S. Federal Government. SAM collects, validates, stores and disseminates data about the federal government's trading partners in support of the contract award, grants and the electronic payment processes.

STEP 3: Username and Password

If your organization's E-Business Point of Contact (E-Biz POC) has assigned you AOR rights,

you are authorized to submit grant applications on behalf of your organization. AORs must create a username and password to serve as their "electronic signature" when submitting an application on behalf of their organization. To register as an AOR and create a username and password, go to: <https://apply07.grants.gov/apply/OrcRegister>

STEP 4: AOR Authorization

Your E-Biz POC must then [login](#) to Grants.gov (using the organization's DUNS number for the username and the "MPIN" password obtained in Step 2) and approve the AOR, thereby giving permission to submit applications. When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email that includes the requesting AOR's name, e-mail address and phone number. In some cases the E-Biz POC can also be the AOR for an organization. If the E-Biz POC wishes to submit applications on behalf of their organization, he or she must also complete a separate AOR profile with username and password (Step 3 of the registration process) using a different email than the one used for their E-Biz POC registration.

STEP 5: Track AOR Status

To verify that your organization's E-Biz POC has approved you as an AOR, please [track your status](#). You cannot apply for grants without E-Biz POC approval.

For questions, please consult:

- [Organization Registration User Guide](#)
- [Organization Registration Checklist](#)
- Grants.gov Contact Center: 1-800-518-4726 or support@grants.gov. Hours of Operation: 24 hours a day, 7 days a week.

If you are concerned that you will not finish your CCR registration in time to meet the overall application deadline, contact the APS POC(s) listed in Section VII who will work with you to find a solution. If an organization is having difficulties, contact the Agency POC(s) listed in the APS in [Section VII](#) as soon as possible.

ANNEX B: Certifications, Assurances and Other Statements of the Recipient

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (JUNE 2012)

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

There are five parts to this section to include the following:

- Part I Certifications and Assurances
- Part II Key Individual Certification Narcotics Offenses and Drug Trafficking
- Part III Participant Certification Narcotics Offenses and Drug Trafficking
- Part IV Survey on Ensuring Equal Employment Opportunity for Applicants
- Part V Other Statements of Recipients

Certifications, Assurances, and Other Statements of the Recipient are to be submitted by the closing date of this APS. The applicant shall review, comply and fill out all five applicable parts of this section to be considered for award. Any parts or subsections that do not apply to the applicant shall be indicated with "n/a" and a brief explanation of why it does not apply.

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any

person who fails to file the required certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site:
<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification -

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

- 1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- 2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- 3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Please note that per USAID policy, all APS’s must include the referenced Survey on Ensuring Equal Opportunity for applicants in the APS package. While inclusion of the survey by Agreement Officers in APS packages is required, the applicant’s completion of the survey is voluntary, and it is not a requirement of the APS. The absence of a completed survey in an application is not a basis upon which the application will be determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.

This survey can be found at this website: <http://www.usaid.gov/forms/surveyeo.doc>

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient’s TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee’s or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED GOODS	_____
PROBABLE GOODS	_____
PROBABLE (Generic)	_____
UNIT COST	_____
SOURCE	_____

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE	_____
INTENDED USE (Generic)	_____
UNIT COST	_____
SOURCE	_____

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

6. PAST PERFORMANCE REFERENCES

Please provide past performance information requested in the APS.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as a corporation organized under the laws of _____ (country), an individual, a partnership, a nongovernmental nonprofit organization, a nongovernmental educational institution, a governmental organization, an international organization, or a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

ANNEX C: Past Performance Short Form

<p>Past Performance Short Form <i>Please attach additional pages if necessary.</i></p>
<p>PART I: Award Information (Completed by Applicant)</p>
<ol style="list-style-type: none"> 1. Name and Address of Organization for which this Past Performance form is assessing 2. Name and Address of Organization for which the work was performed (State name and address of Organization of awarding entity also, if different) 3. Award Number and Project Name 4. Award Type 5. Award Value (Total Estimated Cost, if Subagreement - subagreement value) 6. Period of Performance 7. Contact(s): (Name, Title, Organization, Telephone Number and E-mail address) 8. Agreement Officer/Contracting Officer Name and Contact information, if applicable 9. Agreement Officer's Representative/ Contracting Officer's Representative Name and Contact Information, or equivalent, if applicable 10. Title/Brief Description of Product/Service Provided 11. Problems: (if problems encountered on this award, explain corrective action taken)

PART II: Performance Assessment – completed by client organization

A. Name and Contact Information of Past Performance Reference (Name, Title, Organization and Contact Information):

B. Brief Description of Product/Service Provided.

C. How well applicant/contractor performed:

(1) Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness in fixing problems. Comment:

(2) C2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:

(3) C3. 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:

(4) C4. 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:

(5) C5. 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:

D. Comment on instances of good performance:

E. Comment on instances of poor performance or significant problems:

F. Comment on significant achievements or indications of excellent or exceptional performance in the most critical areas:

ANNEX D: Initial Environmental Examination
SUMMARY OF PROGRAMMATIC INITIAL ENVIRONMENTAL EXAMINATION (PIEE)
Maternal, Newborn, and Child Health (MNCH) Project

PROGRAM/ACTIVITY DATA

IEE Number: GH-13-16
Program/Project Number: APS-OAA-13-000005
Country: Global
Functional Objective: Investing in People
Program Area: Health
Program Elements: 3.1-3.9
Funding Period: 2013-2018 (5 years)
Life of PIEE: Five years from date of signature, unless amended
Is this a Supplemental IEE (SIEE) (an amendment to PIEE for either for country-specific activities or for new activities not covered by PIEE)? Yes No **X**
If yes, IEE number and date of original PIEE: _____
PIEE Prepared by: Rochelle Rainey GH/HIDN/MCH

Current date: February 4, 2013

ENVIRONMENTAL ACTION RECOMMENDED

Categorical Exclusion _____
 Negative Determination _____
 Negative Determination with Conditions X
 Positive Determination _____

SUMMARY OF FINDINGS

The purpose of this document is to review the overall activities and the potential environmental impact that will be undertaken by USAID’s MNCH Program. The Programmatic Initial Environmental Examination (PIEE) evaluates the potential impacts of the activities described in the MNCH Project Appraisal Document (PAD), which are mainly training, technical assistance and capacity building. It has been determined that a **Negative Determination with Conditions** is appropriate to prevent or mitigate the potential impacts of the activities. If additional activities are proposed that were not included in the MNCH PAD, they will require documentation and review in a Supplemental Initial Environmental Examination (SIEE), and may possibly have a different recommended determination.

THRESHOLD ENVIRONMENTAL DETERMINATIONS

The overall environmental determination for the MNCH Project is a **Negative Determination, with Conditions**.

Pursuant to 22 CFR216.3(a)(2)(iii), a **Negative Determination with Conditions** is recommended for any MNCH Project direct or indirect activities that have potential for negative impact on the environment in the following categories:

- 1) Procurement, storage, management and disposal of public health commodities, including pharmaceutical drugs, immunizations and nutritional supplements, laboratory supplies and reagents.
- 2) Actions that directly or indirectly result in the generation and disposal of hazardous or highly hazardous medical waste (e.g., basic and emergency obstetric care techniques, administration of injectables, HIV or TB testing, disease diagnosis and treatment, etc.)
- 3) Malaria control programs
- 4) Small-scale rehabilitation of health or educational facilities
- 5) Small-Scale water and sanitation activities (such as covered wells and latrines)
- 6) Small scale gardening/farming activities

SUMMARY OF MONITORING AND REPORTING MEASURES

1. **Agreement Officer/Contracting Officer (AO/CO) Responsibilities:** USAID procurement should include consideration of the implementing partner's ability to perform the mandatory environmental compliance requirements as envisioned under the Program/ Project. The AO/CO shall include required environmental compliance and reporting language into each implementation instrument, and ensure that appropriate financial resources, qualified staff, equipment, and reporting procedures are dedicated to this portion of the project.
2. **Agreement Officer's Representative/Contract Officer's Representative (AOR/COR) Responsibilities:** The AOR/COR will ensure that the mitigation measures and monitoring criteria found in the EMMPs must be incorporated into Performance Monitoring Plans and Annual Workplans.

The AOR/COR and/or on-site manager or their representative of the Program/Project will undertake field visits, as possible, and consultations with implementing partners to jointly assess the environmental impacts of ongoing activities, and associated mitigation and monitoring conditions, using the EMMP and EMMR.

The AOR/COR, in consultation with the mission activity managers and implementing partners, Mission Environmental Officers (MEO), Regional Environmental Officers (REO), and/or Bureau Environmental Officers (BEO) as appropriate, will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this PIEE arise during implementation, and modify or end activities as appropriate.

3. **Implementing Partners:** The MNCH Project implementing partners are responsible for ensuring that the EMMPs are reviewed and approved by the AOR/CORs and the MEO and submitted to the USAID Global Health Bureau's (GH) BEO.
4. **Supplemental Initial Environmental Examinations (SIEE):** Applicable country and environmental information will be detailed for each country activity in an SIEE that must be approved before implementation of country-level activities. Any activity that differs substantially from the type or nature of activities described here, or requires different or additional mitigation measures beyond those described will also require an SIEE. Any SIEEs prepared will be considered amendments and will reference this PIEE.

5. **Environmental Mitigation and Monitoring Plans (EMMP):** Funding for activities under this PAD will come from both core and field support funds, and awarded at the bilateral or the core level. For each major core and country activity under this program, an Environmental Mitigation and Monitoring Plan (EMMP) will be completed by the implementing partner and submitted to the AOR/COR, the Global Health BEO, and the MEO or the REO for their approval.
 - a. The EMMP(s) must be completed prior to the start of activities
 - b. Implementing partners will provide an EMMP for each primary award under this PAD and a country-specific EMMP for implementation of activities, that provides a detailed implementation plan for the conditions prescribed in this document
 - c. The EMMP(s) will be reviewed and approved by the GH BEO (unless authority to approve is delegated in writing to the MEO) prior to the commencement of activities. The mitigation measures and monitoring criteria found in the EMMPs must be incorporated into pertinent Performance Monitoring Plans and Annual Workplans. It is the AOR/COR's responsibility to ensure that this is done. The implementing partners' Project Work Plans will identify those activities outlined in this PIEE that have potential impacts to the environment and discuss plans for environmental management, mitigation approaches, and monitoring measures.
 - d. An evaluation of the implementation of the relevant EMMP(s) must be part of any midterm and end of project evaluations
 - e. Operating Units will ensure that implementing partners budget for and have sufficient capacity to implement mitigation and monitoring measures
 - f. The EMMP(s) must be stored in project files at the appropriate level

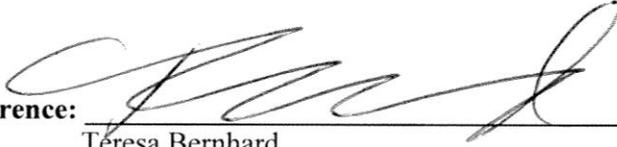
6. **Environmental Mitigation and Monitoring Report (EMMR):** Implementing partners under this award will complete an annual environmental mitigation and monitoring report (EMMR) for each EMMP prepared under this PIEE.
 - a. The environmental monitoring report should be submitted to the AOR/COR by November 1 of each year.
 - b. The EMMR(s) will record the environmental mitigation and monitoring measures outlined in the EMMP(s) and will indicate the activities used to ensure that those measures were implemented.
 - c. Based on the process outlined in the Project Work Plan, the implementing partners' annual reports to USAID will include brief updates on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures. The EMMR(s) will also identify issues and challenges associated with the implementation of the EMMP(s).
 - d. The EMMR(s) must be stored in project files at the appropriate level.

7. **Sub-Agreements or Funds Transfers:** Any sub-agreements or fund transfers from the implementing partners to other organizations must incorporate provisions stipulating:
 - a. the implementation of conditions outlined in the SIEE for country level programs or an IEE for regional or global programs.

- a. the implementation of conditions outlined in the SIEE for country level programs or an IEE for regional or global programs.
 - b. the completion of an annual environmental mitigation and monitoring plan (EMMP) and report (EMMR) , and submission to the implementing partner by the deadlines in effect for the implementing partner.
 - c. Any activity to be undertaken will be within the scope of the environmental determinations and recommendations of this PIEE. This includes assurance that any mitigating measures required for those activities be followed.
8. **Host Country:** Implementation will in all cases adhere to applicable host country environmental laws and policies.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

Recommended By:  2/4/13
Date

Concurrence:  2/4/13
Teresa Bernhard
Global Health Bureau Environmental Officer (acting) Date

Approved: 
Disapproved: _____

Filename: