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FROM THE AMERICAN PEOPLE

Notice of Funding Opportunity (NOFO) No. 72052019RFA00001 Improved Health and Nutrition Activity

Issue Date:	November 21, 2018
Deadline for Question/Clarifications:	November 30, 2018
Closing Date for Receipt of Applications:	January 8, 2019
Closing Time:	12:00 noon (Guatemala time)

To whom it may concern:

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the Improved Health and Nutrition activity. Please see Section C for eligibility requirements.

USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6(e)

Please send any questions to the point of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

A handwritten signature in blue ink that reads "Craig Riegler". The signature is written in a cursive style with a large initial "C" and "R".

Craig D. Riegler
Regional Agreement Officer
USAID

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SECTION A: PROGRAM DESCRIPTION

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

Introduction

This activity will support significant and sustainable improvements in the health and nutritional status of women and children in selected communities of the Western Highlands (WH) where Feed the Future activities that contribute to the Global Food Security Strategy (GFSS) are implemented. Households with pregnant women and children under two years of age (i.e., 1000 days window of opportunity) will be a primary, though not the exclusive, focus of interventions. Research findings show that interventions to improve the nutritional status of women and children during this period save lives, improve a child’s cognitive development, and favors child growth, leading more children to become healthy and productive adults. The Recipient will build upon its own expertise, the achievements and lessons of activities from USAID and other stakeholders, and global evidence to propose and implement strategies, plans, budgets, program activities and monitoring and evaluation to achieve measurable, lasting outcomes. While many health indicators have improved in Guatemala and its neighbors have seen dramatic and sustained reductions in stunted children, the prevalence has remained stubbornly high despite decades of interventions from a number of stakeholders. Therefore, USAID seeks innovative and creative solutions that proactively leverage the expertise of partners not only from the government, but also from the private sector, other donors, civil society, indigenous organizations, academia and faith based organizations to promote customized solutions sustainable beyond the program's life cycle. The recipient will apply a technically sound health system strengthening approach to enable and strengthen the Government of Guatemala (GOG’s) capacity to deliver an integrated and culturally sensitive package of health and nutrition services that include family planning (FP), reproductive health (RH), and maternal, newborn, child, and adolescent health (MNCAH) services.

Improving health, nutritional status, and socio-cognitive development of children and families in the WH is one of the principal aims of the proposed activity. To achieve better physical, mental, and social development (including appropriate child growth, optimal micronutrient status, and prevention of non-communicable diseases), interventions in food security and income generation are necessary but not sufficient, and USAID currently supports a number of activities to improve food production, to diversify agricultural production and expand value chains, and to develop and expand workforce development. Achieving optimal development of individuals and communities will also require a combination of gender and ethnic-sensitive and cross-cutting interventions that take advantage of and apply digital and technology solutions. It is essential that this activity conduct interventions harmoniously with other USAID activities, donors, and GOG’s efforts in health, education, agriculture, governance, and water, sanitation and hygiene (WASH) to produce synergistic and reinforcing results. USAID recognizes that lasting changes in health and human development cannot be achieved without increasing and sustaining positive social and health norms, and the Recipient will coordinate with a complementary normative social and behavior change (NSBC) activity, which will

employ NSBC across sectors, including but not limited to, health and nutrition, agriculture, education, positive youth development, and gender equality.

Through close coordination with USAID, GOG at the national and subnational levels, communities and other USAID activities, the Recipient will 1) improve access to and utilization of quality health services for select municipalities of the WH, and 2) strengthen local health systems, human resources for health (HRH) and governance of the health sector.

BACKGROUND

Health Status

In Guatemala, the greatest threat to a child's survival, intellectual potential and future economic productivity is the extremely high rate of stunting. Science has shown that the 1,000 days between pregnancy and a child's second birthday is the most critical period to ensure optimum physical and cognitive development. Malnourished children are also at greater risk of serious illness and death from frequent bouts of gastro-intestinal illness, communicable diseases, and vector-borne diseases. The World Health Organization (WHO) and the Food & Agriculture Organization of the United Nations have articulated that a well-nourished and healthy workforce is a precondition for sustainable development, and studies indicate that every dollar invested in nutrition yields \$16 in return.¹ According to WHO, "Although health is widely understood to be both: a central goal and an important outcome of development, the importance of investing in health to promote economic development and poverty reduction has been much less appreciated. We have found that extending the coverage of crucial health services, including a relatively small number of specific interventions, to the world's poor could save millions of lives each year, reduce poverty, spur economic development, and promote global security."²

Despite significant improvements in the health of the general Guatemalan population over the past several decades, the health status of poor and indigenous Guatemalans, who comprise close to half of the total population, continues to be among the worst in the Western Hemisphere. Guatemala's high maternal and infant mortality and stunted children are concentrated primarily among the poor and indigenous in the rural areas of Guatemala's WH. Many communities struggle to have access to basic medicines, and there is not a sufficient number of qualified health providers in the majority of the rural communities. One-fourth (25.3 percent) of mothers at the national level and roughly one-third (37.3 percent) of indigenous women are shorter than 145 centimeters, a critical minimum height to

¹ Food and Agriculture Organization/World Health Organization Nutrition and Development – A Global Assessment, 1992. download at: <<http://www.fao.org/docrep/017/z9550e/z9550e.pdf>> and Development Initiatives, 2017.

Global Nutrition Report 2017: Nourishing the SDGs. Bristol, UK: Development Initiatives. <https://www.globalnutritionreport.org/files/2017/11/Report_2017.pdf>

² Macroeconomics and Health: Investing in Health for Economic Development. World Health Organization. Macroeconomics and health: investing in health for economic development. Report of the commission on macroeconomics and health. Geneva: WHO; 2001.

avoid obstetric complications and low birth weight.³ Moreover, stunting is often an intergenerational cycle: a short mother is a primary predictor of a stunted child. Consequently, improved nutrition is necessary not just during pregnancy and early childhood, but into early adolescence for girls and for all women of reproductive age. Inadequate timing and spacing between births leads to an increased risk of poor infant nutritional status at birth, as does maternal malnutrition during pregnancy. In the WH, limited access to quality health services leads to poor health outcomes for rural and indigenous women and children who consistently have low access to services and worse health outcomes than their ladino and urban peers. At delivery, for example, doctors or nurses attend only 50 percent of births by indigenous women, and indigenous women have a maternal mortality ratio of 2.27 maternal deaths compared to one for their ladino peers. Low access to and use of FP contributes to maternal morbidity and mortality and to higher rates of infant and child mortality, and FP remains low with only 39 percent of indigenous women using a modern method of contraception.⁴ One in every five girls surveyed between the ages of 15 and 19 had either given birth or was currently pregnant at the time of the most recent Demographic and Health Survey (DHS) in 2014/15. Many households do not have consistent access to clean water, and lack of clean drinking water or of sanitation are key drivers of malnutrition via diarrheal diseases and anemia. Nutrition-specific and nutrition-sensitive interventions⁵ are among the lifesaving interventions that can have the greatest impact in reducing preventable child and maternal deaths.

Role of the Ministry of Health (MOH), the Secretariat for Food and Nutritional Security (SESAN), and the Guatemalan Social Security Institute (IGSS) ⁶

All health and nutrition actions of this activity should align with GOG strategies and support GOG national plans.

The MOH plays the dual role of overall senior authority of the country's health system and provider of publicly financed health services, with the largest network of local, regional, and national health service providers. The MOH is responsible for providing basic health care services for more than 75 percent of their population. However, low levels of funding do not allow the MOH to provide services at that level, and many people do not receive essential services. Based on a number of assessments, it is widely acknowledged that the MOH needs to strengthen its oversight of the health

³ Demographic and Health Survey (DHS) Guatemala, 2015. Ministerio de Salud Pública y Asistencia Social - MSPAS/Guatemala, Instituto Nacional de Estadística - INE/Guatemala, Secretaría de Planificación y Programación de la Presidencia - Segeplán/Guatemala and ICF International. 2017. Encuesta Nacional de Salud Materno Infantil 2014-2015: Informe Final. Rockville, Maryland, USA: MSPAS, INE, Segeplán and ICF International.

⁴ INE and MSPAS (DHS Guatemala), op cit.

⁵ Executive Summary of the 2013 Lancet Maternal and Child Nutrition Series:
<https://www.thelancet.com/pb/assets/raw/Lancet/stories/series/nutrition-eng.pdf>

⁶ Avila, Carlos, et al, Guatemala Health System Assessment, August 2015. Bethesda, MD: Health Finance & Governance Project, Abt Associates Inc. on-line at: <https://www.usaid.gov/sites/default/files/documents/1862/Guatemala-HSA%20_ENG-FULL-REPORT-FINAL-APRIL-2016.pdf>

sector and its engagement with other institutions, including the IGSS. While various commissions for multi-sectoral dialogue exist, there is a need for wider consultation and engagement with the for-profit and non-profit private sectors.

SESAN is the government entity charged with monitoring and assessing the severity of all forms of malnutrition in the population, the condition of food security, and the performance of the associated interventions. To do so, SESAN coordinates the efforts supported by international organizations, the private sector, and other GOG entities, including the MOH and the Ministry of Agriculture.

IGSS is the autonomous entity responsible for providing health and social security services to Guatemalans who are insured through the formal work sector. Its mission is to protect the insured against the loss of health and economic sustenance by providing quality services in an efficient and transparent manner. It provides health services to the 17 percent of the population employed in the formal sector, which is largely concentrated in urban areas.

Role of Sub-National and Local Government Entities

The *Dirección de Área de Salud* (DAS) is the official representative of the MOH at departmental and sub-departmental levels, and the *Distrito Municipal de Salud* (DMS) is the operational arm, responsible for the supervision and oversight of health services at the municipal level. This activity will work closely with the respective DAS's and DMS's to emphasize a range of nutrition, MNCH, WASH and FP interventions and to enhance technical and administrative capacities and improve the MOH's role as the nation's rector of healthcare.

Although often not considered a formal part of the health system, Guatemala's municipal governments play an important role in environmental health with particular responsibility for providing potable water and sanitary services, which are key public health interventions. Municipal governments receive a percentage of government revenues that must be spent on infrastructure, that could include potable water and sanitation, and the municipal code requires municipalities to provide chlorinated water to their communities. However, municipal governments face challenges in collecting their own source revenues, which further limits their ability to provide or increase services. Municipal governments are also responsible for organizing the Food and Nutrition Security Commissions.

According to the USAID 2015 Health System Assessment, municipal governments play other health-related roles that include: providing ambulances, drivers, and fuel to transport the sick to district health centers; financing or co-financing the construction or rehabilitation of health posts; and paying the salaries of staff to complement existing MOH-funded staff in health posts.⁷ Local level governments have the agility and knowledge to customize programs and to more rapidly respond to the needs of constituents. Decentralization, therefore, is seen as an essential element in achieving a

⁷ Avila, Carlos, Rhea Bright, Jose Gutierrez, Kenneth Hoadley, Coite Manuel, Natalia Romero, and Michael P. Rodriguez. Guatemala Health System Assessment, August 2015. Bethesda, MD: Health Finance & Governance Project, Abt Associates Inc.

more participatory, inclusive democracy and in promoting equity and expanding access to health care. In 2018, the GOG approved and launched the National Decentralization Agenda that enables the transfer of centralized competencies to municipalities which have greater flexibility to tailor their services to the local population, thus potentially improving quality and coverage of public. Thus, municipal governments are expected to take on a more prominent role in implementing health services.

Summary of Government of Guatemala (GOG) Policies

Ending stunting and other consequences of malnutrition has remained a government priority through each change in GOG and MOH authorities. In its Zero Hunger Pact (2012), GOG selected 166 priority municipalities for combating hunger and promoting food security; reducing the prevalence of stunting by 10 percent by the end of five years for children under three years of age; and preventing and reducing the childhood mortality rate for children under five years of age due to malnutrition.⁸ GOG's National Strategy for the Prevention of Chronic Malnutrition (2016-2020) replaced the Zero Hunger Pact and is a country-led approach for reducing stunting within five years. In 2018, GOG approved the National Guidelines for Adolescents and Contraception to encourage delayed pregnancies among 15-19 year olds and healthy spacing between pregnancies.

Relation to USAID and USG Strategies.

This activity will contribute to Guatemala's journey to self-reliance: its ability to plan, finance, and implement solutions to solve its own development challenges. Specifically, tasks will contribute to the self-reliance metrics on Government Effectiveness by improving the GOG's capacity to provide quality public health services and formulate and implement policy and to the Child Health Indicator by improving health outcomes for children and adolescents. Improving health and nutrition leads to more healthy and productive citizens, which leads to more stable and resilient societies.

This activity will contribute to Development Objective 2 of USAID/Guatemala's Country Development Cooperation Strategy (2012-2019): Improved Levels of Economic Growth and Social Development in The Western Highlands and its Intermediate Result: Access to and use of sustainable quality health care and nutrition services expanded.

This activity will directly contribute to USAID/Guatemala's 2018-2022 Global Food Security Strategy (GFSS)⁹. In addition to contributing to the overall goal of sustainably reducing global hunger, malnutrition, and poverty, it will specifically contribute to components 1 and 4: Institutional Strengthening and Policy Systems and A Better Nourished Population.

⁸ See SPRING reports from Ghana and its 2015 assessment of nutrition in Guatemala, found at <www.spring-nutrition.org>

⁹ Global Food Security Strategy Guatemala Country Plan 2018: https://www.usaid.gov/sites/default/files/documents/1867/Guatemala_GFSS_Country_Plan_FINAL_Public_Version_7.11_508_Compliant.pdf

The activity will contribute to the prosperity and governance goals established by the U.S. Strategy for Engagement in Central America¹⁰ by strengthening state institutions and reinvigorating the productive sector, which, as explained above, has been weakened by poor health and nutritional outcomes. Tasks will align with a number of USG strategies including the Agency’s Multi-Sectoral Nutrition Strategy (2014-2025); the USG Global Food Security Strategy (2017-2021); the 2017 USG Global Water Strategy and USAID Maternal Health Vision for Action and will incorporate principles from the USAID Gender Equality and Female Empowerment Strategy (2012).

Theory of Change

IF a strengthened health system provides a comprehensive and culturally appropriate package of evidence-based high impact health and nutrition services to the Guatemalan population in selected municipalities AND community-level normative change interventions lead to the adoption of healthy behaviors by the population THEN health outcomes of women and children will improve.

Activity Description and Implementation Principles

The purpose of the activity is to achieve significant and sustainable improvements in nutrition and health outcomes of target select municipalities of the WH which will result in reductions of stunted children, and maternal and child morbidity and mortality, and keeping low the prevalence of anemia and micronutrient deficiencies. This will occur as the result of improving service delivery and strengthening health systems, especially of human resources for health (HRH) in Guatemala.

Government of Guatemala Engagement:

The Recipient will align its approach with GOG’s policies. The Recipient will implement evidence-based local health system strengthening interventions that support GOG objectives and programs to provide integrated, quality health and nutrition services. This will occur primarily by working with a diverse range of partners, including at the central, municipal, facility and community levels. The Recipient will collaborate with DAS and DMS officials of the MOH as well as with local institutions, civil society, and indigenous organizations at the community level to achieve results that will have a positive impact.

Private Sector Engagement and Partnerships:

Contributing to USAID efforts with the country of Guatemala on its journey to self-reliance, USAID recognizes that the private sector provides the majority of products and services to the population and has unique and diverse expertise and resources that can help to achieve greater impact in health and nutrition. Therefore, the Recipient will make a deliberate effort to seek out and include private sector entities as collaborators in the implementation of this activity. Market-based approaches can increase access to effective and affordable nutritious products (e.g., eggs, poultry, meat, dairy products) and

¹⁰ Overview of the US Strategy for Engagement in Central America:
<https://www.state.gov/documents/organization/276138.pdf>

services to entire populations, and appropriate consumer education and promotion of nutritious products can help caretakers make informed choices. In turn, the private sector benefits from having a healthier, more productive workforce. The Recipient must seek and realize opportunities to engage and partner with the private sector and for proposed activities to complement and build on private sector activities. Recipient engagement of the for-profit sector, including the local pharmaceutical industry as well as professional medical associations, such as the National College of Physicians and Surgeons, Association of Obstetricians and Gynecologists, Association of Pediatricians, the Association of Nutritionists of Guatemala, and others is highly encouraged. The Recipient should consider partnerships with both for-profit and non-profit organizations for building sustainable and scalable service delivery health models.

Technology:

The adoption of digital technologies could yield as much as \$4.4 trillion in GDP for the world's poorest people,¹¹ and communities continue to rapidly adopt new technologies for personal and professional use. Therefore, it is critical that this activity incorporate digital advances into its approach. Digital development approaches can help 1) reach large groups or communities with standardized information; 2) gather information in regular intervals from large numbers of people and across large geographical areas; 3) collect, store, and share information in a consistent format, including for inventory management and demographic information; 4) increase transparency and accountability with electronic records management, open data, electronic or mobile payments; and 5) allow for more agile, adaptive management of development interventions by enabling improved responsiveness of governments to the needs of beneficiaries, such as real-time inventory management of vaccines. In accordance with the nine Principles for Digital Development,¹² the Recipient will adopt approaches that build on existing digital approaches and incorporate innovative solutions to meet the needs of beneficiaries.

Adaptive Management:

The Collaboration, Learning, and Adaptation (CLA) approach is based on the understanding that development efforts are more effective when 1) coordinated and collaborative with local entities; 2) test promising and new approaches in a continuous manner to identify improvements and efficiencies; and 3) build on what works and eliminate what does not. This approach will require a great deal of flexibility on the part of the Recipient and a willingness to keep constant communication with local stakeholders, and to stop tasks that are not working and take on promising new ideas. It will require incorporating global best practices and evidence from similar contexts as well as an analysis of the appropriateness of those actions for Guatemala where many interventions that have worked in other

¹¹ The Varying Effects of Digitization on Economic Growth and Job Creation – A Global Perspective (April 29, 2013). https://www.strategyand.pwc.com/me/home/press_media/management_consulting_press_releases/details/52364755

¹² Principles for Digital Development. <https://digitalprinciples.org>. The nine principles are: 1) design with the user; 2) understand the ecosystem; 3) design for scale; 4) build for sustainability; 5) be data driven; 6) be “open”: use open standards, embrace open data, consider open source software and promote open innovation; 7) reuse and improve; 8) address privacy and security; and 9) be collaborative.

countries have failed. The robust CLA approach must actively incorporate adaptive management principles such as:

- translating new learning and shifts in context into course correction in strategy and implementation
- improving review processes to solicit input from stakeholders
- managing performance to reward knowledge sharing
- remembering the difference between targets and results

Collaboration with USAID

To encourage a collaborative approach between the Recipient and USAID, the Chief of Party (COP) and Deputy COP of this activity, and the Agreement Officer Representative (AOR) will form and oversee an Advisory Committee, comprised of stakeholders from relevant GOG ministries and agencies, civil society (including youth organizations, indigenous peoples, and beneficiaries), and academia. The Recipient will lead the Advisory Committee and, with USAID, will participate in strategy review sessions to provide an opportunity to give feedback on the problem analysis, how to best adapt activities, and to use monitoring and evaluation for learning and decision-making. Through the strategy review sessions, the Recipient and USAID will prioritize achieving sustainable results that contribute to the self-reliance metrics and discuss how and if the proposed targets are contributing to achievement of those results. USAID, the Recipient, and the Committee members will develop terms of reference for the Advisory Committee.

Gathering Information and Choosing In-Country Collaborators

The Recipient will begin in-country implementation of the activity with broad consultations with stakeholders and informants to establish an understanding of the context and socio-political landscape in the selected municipalities which tasks are to be implemented. These consultations should include an analysis of how conflict and related gender dynamics interact with activity tasks. In coordination with USAID, the Recipient will develop a list of consultations with a range of stakeholders that includes but is not limited to national level ministries and GOG entities, subnational level municipalities, civil society, indigenous organizations, women's organizations, youth organizations, the private sector, academia, faith based organizations, and community members.

The activity will provide support to public sector institutions in the implementation of the National Strategy for the Prevention of Chronic Malnutrition. To increase positive impacts on stunting and poverty reduction, the Recipient will implement activities in prioritized municipalities in the Feed the Future zone of influence (Annex C) where the USG will simultaneously invest in other sectors, including agriculture, economic growth, education, and resilience. The Recipient will collaborate closely with municipal officials on activities and investment plans, engage and involve private for-profit and non-profit entities, including academia, as appropriate to achieve its objectives. The Recipient will work with non-traditional partners (e.g., religious leaders and faith-based organizations, school teachers, women's groups, youth groups, and traditional authorities) to achieve broader community engagement. The Recipient will also develop, test, and implement evidence-based capacity-building activities to improve the performance and quality of health center, health post and community workers that provide high-impact, priority MNCAH, FP and WASH services.

To achieve the results anticipated, the Recipient will provide the necessary technical assistance (TA), capacity building, collaboration, and advocacy for institutional strengthening of relevant institutions to increase the capacity of personnel and support for implementation of health and nutrition policies. The Recipient will consult and collaborate closely with other USAID implementing partners in its support to GOG, and coordinate with other donor and international institutions. The Recipient will investigate opportunities for leverage, including those in the private and commercial sectors. The activity will work closely with responsible GOG personnel during assessment, planning, implementing and monitoring of activities.

Geographic Focus

Tasks directly related to service delivery will work in contiguous municipalities in the Departments of Huehuetenango or Quiché or both, where USAID/Guatemala currently supports agricultural, education, youth, and health and nutrition interventions. Though the Recipient will propose during the workplan development stage which department and municipalities to work in, it will choose among municipalities that are listed in the Feed the Future activities (Annex C). A list of all activities that the activity is expected to collaborate with is provided in Annex B. Working in adjoining municipalities will have a synergistic effect that will make it easier to program, assess and evaluate the activity's impact. Huehuetenango and Quiché are appropriate for this activity because of their 1) poor health and nutritional status; 2) geographic, linguistic and cultural proximity; and 3) proximity to other USAID nutrition and agricultural activities. Other municipalities in the WH may at some point be added to the Recipient's program, if conditions and resources permit. Communities will be chosen for a truly integrated approach to determine if integration can have an increased impact on reducing child stunting and other poverty-reduction outcomes. The Recipient should take into account that both Departments are linguistically and culturally diverse. Therefore, the Recipient must incorporate a holistic and culturally appropriate approach. At the national level, the Recipient will support GOG policies and develop and implement programs to support and strengthen the health system and increase the number and quality of HRH. The activity will respond to specific identified needs for systems and capacity building and improved governance at GOG institutions at the subnational level. The Recipient will be expected to manage an office or sub-office in Guatemala City for overall direction and management of the activity.

Activity Areas and Interventions

The Recipient will implement solutions to the development challenges in the geographic areas outlined above to contribute to the overarching goal of significantly and sustainably improving the health and nutritional status of women and children in select communities of the Western Highlands. The Recipient will support solutions that advance the following two objectives:

- Improved Access to and Utilization of Quality Health Services
- Strengthened Health Systems, Governance, and Human Resources for Health

The Recipient will achieve the results described below using the means and modalities it determines to be the most effective and cost-efficient to realize the activity's intended results. Proposed solutions will be refined through a rigorous, evidence-based and participatory approach, ensuring causality between activities and results, and testing assumptions.

Objective 1: Improved Access to and Utilization of Quality Health Services

Given the crucial role nutrition plays in infant and child survival and its long-term consequences for health and wellbeing and the high levels of stunted children in Guatemala, the Recipient will give priority to interventions that reduce the prevalence of child stunting and other consequences of poor nutrition and health. Reducing this prevalence will require a comprehensive design that fully integrates nutrition interventions with quality, high-impact FP, RH, and MNCAH health services and interventions designed to improve quality of care while preventing child and maternal deaths. The activity will work closely with communities, the private sector, partners, and GOG at the national and municipal levels to promote and to improve equitable access to and utilization of evidence-based, high impact health and nutrition services. A continuum of care approach and culturally appropriate respectful care should be the conceptual framework for integrated, MNCAH, FP, and nutrition interventions that follow the MOH and international standards of care. The activity will mobilize health workers, citizen groups, school teachers, religious leaders and faith-based organizations, community members and others to promote improved nutritional, health, and hygiene practices. Adolescent girls, women of reproductive age, and children younger than two years of age are the primary targets of interventions, but mothers-in-law and male involvement will be crucial in achieving sustainable success since participation of all family members is a key for achieving sustainable changes. The below results are merely illustrative, and the Recipient is encouraged to propose solutions and targets, supported by evidence, that it believes will best achieve the objective.

Illustrative Results:

- Effective implementation of activities that promote optimal health and increase the adoption and monitoring of: 1) relevant nutrition-specific actions, 2) the high impact practices for FP, 3) WASH services, 4) community-based, culturally appropriate maternal and birth preparedness and emergency services, and 5) treatment of childhood illnesses. As appropriate, these tasks will be integrated with health, community, and agricultural services.
- Implementation of community-led digital and mobile solutions to fill gaps in service availability.
- Implementation of innovative approaches to reach in and out of school youth and overcome barriers to obtaining FP and RH information, counseling and services.
- Establishment of private partnerships that improve and expand access to FP, RH, health, and nutrition, products, and supplies for hygiene and health.
- Improved oversight and delivery of health services and social programs from the municipal and subnational MOH authorities.

Objective 2: Strengthened Health Systems, Governance, and Human Resources for Health

The stark contrast between urban and rural health worker densities (25.7 health workers per 10,000 population in urban areas compared to only 3.0 per 10,000 in rural areas), the dearth of clinicians fluent in indigenous languages, and the disparities in skilled birth attendance (82 percent among *ladinos* but only 50 percent among indigenous women) all are indicative of the existing barriers to healthcare access among the rural and indigenous populations in Guatemala. This activity will contribute to USAID's strategic investments in strengthening health and governance systems to increase country ownership of health programming. The activity should also strengthen health care workers' preparation, skills, and competency to provide health and nutritional care, explore

partnerships to extend affordable primary health care and nutrition services to all, and support evidence-based policy-making. Activities should build primarily upon local initiatives and resources, as well as national initiatives of the GOG. Partners should be selected based on their strategic role, and might include: a) the DAS and DMS – local health authorities with their own resources, b) non-traditional partners, such as school-teachers, religious and community leaders, pharmacies, and c) private schools of nursing and health-related disciplines. It is expected that the health systems strengthening component will improve health providers' competency and performance through approaches such as mentoring, coaching, refresher training, and e-health activities. Activities will complement existing and macro level efforts by existing USAID activities: GH Supply Chain for Procurement and Supply Management and the Health and Education Policy Plus Project. The below illustrative results are based on recommendations noted in recent evaluations, including the 2015 Health System Assessment. The below results are merely illustrative, and the Recipient is encouraged to propose solutions and targets, supported by evidence, that it believes will best achieve the objective.

Illustrative Results:

- Municipal governance strengthened at the DAS and the DMS in planning, administering, coordinating, monitoring and financing the health system.
- Improved integration and planning of services and surveillance of health and nutrition issues and indicators.
- Improved collection, analysis and reporting of health and nutrition indicators for data for decision making to improve quality, accessibility and coverage of key interventions.
- Public and private platforms for improved HRH strengthened.
- Quality improvement and quality team approaches scaled up to improve quality and coordinated delivery of evidence-based health and nutrition services at the local level. Standards and practices of referral and linkages to all levels of the health system established with regular reporting and quality assessment.
- Partnerships with academia established to increase demand for and quality of nurse and midwifery education and to increase the number of indigenous-speaking nurses and midwives working in the WH.

Cross Cutting Development Principles

The following principles guide this activity and are expected to be an integral part of implementation:

Indigenous Engagement, Community Ownership, and Inclusion: Indigenous communities have the right to exercise control over their own development. Activities must be developed and implemented in consultation with local communities and in response to their self-identified needs and priorities. The active engagement with indigenous peoples in design and implementation of local initiatives, as well as national and local policy-making processes, is necessary to achieve sustainability, and the Recipient will work, wherever possible, with and through local systems and organizations. During consultations and audience research conducted by USAID, community members have emphasized the importance they place on donors consulting with potential beneficiaries and with local authorities before carrying out program of activities or specific interventions and the necessity of collaboration between communities and local authorities to meet the needs of the population. Similarly, they

expressed frustration at the historical lack of opportunity for effective participation for reasons that range from patterns of discrimination, risks of persecution for participation and a need to focus survival priorities in other areas. The Recipient will engage with indigenous people through existing networks and as members of the Advisory Committee to prioritize activities according to indigenous people's needs and preferred approaches.

Sustainability: The Recipient will identify, build on, and scale activities that will lead to sustainable changes in the health status of the Guatemalan population. It is anticipated that with the Recipient's TA, GOG efforts will be sustained beyond the life of the activity, and therefore an exit strategy should be clearly defined from the beginning. Throughout implementation, the Recipient will assess the commitment and ability of GOG institutions to take on USAID-funded interventions. Annual reports and the final report will include a section on the transition and sustainability status of specific interventions selected by USAID.

Collaboration with other USAID activities: Maintaining effective communication and collaboration mechanisms with other USAID and other donor programs will be necessary, especially at the municipality and community level. The Recipient will be able to play a central role in implementing and advancing activities in conjunction with USAID sector programs for the WH, including activities in health, education, agriculture/value-chain, WASH, governance and FTF activities. The Recipient must submit concrete plans to communicate, coordinate, and harmonize work with select USAID partners in the WH.

Gender: USAID's commitment to advance gender equity and to pursue gender as a key development issue must be fully reflected in this activity. Gender considerations must be integrated into the activities, ensuring that men and women, as well as vulnerable groups, benefit from USAID support and that gender awareness is built into the activities. The history of exclusion and isolation of women in the WH, as well as their limited experience engaging with national institutions, means that measures must be taken to provide them with the tools to participate in activities and opportunities. The Recipient must ensure all interventions comply with the USAID Gender Equality and Female Empowerment Policy to enhance women's empowerment, prevent and respond to gender-based violence, and reduce gender gaps. The activity will seek to address the underlying, gender-based constraints to behavior change and demand for and use of health services, working with both sexes and across age groups to increase effectiveness. Quality of services will be defined to include cultural competency and gender equitable service provision. According to USAID's 2018 Gender Assessment:

“The main challenge that women face in participating in USAID/Guatemala projects is related to their limited levels of personal autonomy coupled with time poverty. This is particularly the case for married women, or adolescents and young women still living in their family homes.”¹³

Conflict Sensitivity: USAID/Guatemala requires that partners take into account the social conflict dynamics in all projects in order to support the overarching goal of a more secure Guatemala that

¹³USAID/Guatemala Gender Assessment Final Report August 2018:

fosters greater socio-economic development and sustainably manages its natural resources. Conflict sensitivity encourages organizations to understand and track the conflict dynamics in the contexts in which they are working. As changes arise, organizations must adapt their projects to minimize potential negative effects on conflict and build upon positive effects. The application of conflict sensitivity usually does not require a major restructuring of a project or an explicit focus on peacebuilding; adjusting small project details can have significant impacts on the project's interaction with the conflict context. Thus, conflict sensitivity is the ability of an organization engaged in any kind of intervention to:

1. Understand the conflict dynamics in the context in which it operates, particularly with respect to inter-group relations;
2. Understand the interaction between their intervention and the conflict dynamics in the context; and
3. Act upon this understanding in order to minimize unintended negative impacts and maximize positive impacts of their interventions on the context of conflict.

In an effort to ensure interventions are conflict-sensitive, projects' design and implementation must ensure that: a) they do not inadvertently create or exacerbate social conflict; b) they factor in the possible impact of existing or potential conflict on staff, implementing partners, beneficiaries, and the activities themselves; c) they seek appropriate opportunities to mitigate tensions and sources of conflict; and d) they support constructive collaboration between communities in conflict when possible. To better understand conflict dynamics in the Western Highlands, refer to USAID/Guatemala's conflict vulnerability assessment.¹⁴

Positive Youth Development (PYD): 29 percent of Guatemalans is under between the ages of 10 and 24, and a healthy youth population is a critical component of a prosperous and democratic society. The Recipient's approach will include a PYD approach that "engages youth along with their families, communities and governments so that youth are empowered to reach their full potential. PYD approaches build skills, assets and competencies; foster healthy relationships; strengthen the environment; and transform systems."¹⁵ Activities should address barriers and opportunities for youth in accessing quality care and focus on youth's developmental needs while considering environmental and cultural factors that influence barriers and opportunities.

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¹⁴ USAID/Guatemala Conflict Vulnerability Assessment:

¹⁵ YouthPower: What Is Positive Youth Development: <http://www.youthpower.org/positive-youth-development>

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide \$17.7 million in total USAID funding over a five-year period.

2. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is five years. The estimated start date will be o/a March 2019.

3. Substantial Involvement

USAID will be substantially involved in this Cooperative Agreement to help the Recipient achieve the agreement objectives in the following manner:

- a. Approval of the Recipient's Implementation Plans: The AOR will review and approve the annual work plans.
- b. Approval of Specified Key Personnel: The Agreement Officer (AO) will approve key personnel, with technical concurrence of the AOR.
- c. Agency and Recipient Collaboration or Joint Participation:
 - The AOR will review and approve the Monitoring, Evaluation, and Learning (MEL) Plan
 - The AOR will have the authority to modify submission due dates for Plans and Reports. Changes will be communicated to the Recipient in writing.
 - The AOR will participate in meetings with the proposed Advisory Committee to review the strategy and provide feedback on adapting activities.

4. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 937. Code 937 is defined as the United States, the cooperating/recipient country, and developing countries other than advanced developing countries, and excluding prohibited sources.

5. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the Improved Health and Nutrition activity which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

USAID/Guatemala (USAID) envisions a comprehensive health program to identify and support rapid scale up of evidence-based interventions through improvement of service delivery and strengthening of local health systems based on full and open competition.

It is a requirement that the organization is legally registered in the country of Guatemala. If the applicant is a U.S. Organization and it is not registered in the country at the time of the award, the registration process should be completed during the first year of project implementation or sooner.

USAID defines a “local entity” as an individual, a corporation, a nonprofit organization, or another body of persons that:

- (1) Is legally organized under the laws of Guatemala;
- (2) Has as its principal place of business or operations in Guatemala;
- (3) Is majority owned by individuals who are citizens or lawful permanent residents of Guatemala; and
- (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance.

For purposes of this section, ‘majority owned’ and ‘managed by’ include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.

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

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. Each applicant is required to:

- (i) Be registered in SAM. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient
- (ii) Provide a valid unique entity identifier; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal Award.

2. Cost Sharing or Matching

USAID requires a recipient cost share minimum of 10 percent for the award. Such funds may be provided directly by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. This may include contribution of staff

level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

3. Leverage

Also, USAID encourages a meaningful recipient leverage from new private sector resources (money, technologies, or expertise) in any agreements with the private sector.

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. USAID Regional Agreement Officer

Craig D. Riegler
Regional Agreement Officer

2. Questions and Answers

Questions regarding this NOFO should be submitted by November 30, 2018, as indicated on the cover letter, to Maritza Sarmiento at msarmiento@usaid.gov. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

3. General Content and Form of Application

Preparation of Applications:

Each applicant shall furnish the complete information required by this NOFO. Applications must be submitted in two separate parts/two separate emails: (a) Technical Application and (b) Cost/Business Application. When submitting the two emails you must clearly label in the subject field of the email, “72052019RFA00001 - Improved Health and Nutrition Activity (name of your organization) Part 1 Technical/or Part 2 Cost Business Application”.

Both the Technical and Cost/Business Applications must be in English and include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID’s definition of ‘local entity’ under ADS 303).

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent’s authority, unless that evidence has been previously furnished to the issuing office.

Applications must comply with the following:

- The Technical Application must **not exceed 30 pages**, excluding cover page, acronyms list, table of contents and annexes. The annexes must not exceed a total of 30 additional pages. An application that exceeds this page limit will only be evaluated through page 30 (plus annexes) and the remaining pages will not be evaluated. Applications that do not comply with the required format specified in this section may not be considered.
- Written in English
- Use standard 8 ½" x 11" paper, single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

Controlling Language:

It is USAID policy that English is the official language of all award documents because a translation may not convey the full meaning of the original. Therefore, any resulting awards under this NOFO will be in English.

4. Application Submission Procedures

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered.

Applications must be submitted by email to Maritza Sarmiento at msarmiento@usaid.gov. Email submissions must include the NOFO number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

Applicants must retain proof of timely delivery in the form of receiving an email confirmation by the USAID Office of Acquisition and Assistance.

5. Technical Application Format

Technical Application Format

The technical application should be specific, complete, and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

(a) Cover Page (See Section D.3 above for requirements)

(b) Table of Contents

Include major sections and page numbering to easily cross-reference and identify merit review criteria.

(c) Executive Summary (One page)

The Executive Summary must provide a high-level overview of key elements of the Technical Application.

(d) The application must address the following:

d.1. Technical Approach

The application must be organized as follows:

I. Technical Approach

II. Management and Staffing Strategy

III. Annexes

- A. Adaptive Management Approach
- B. Monitoring, Evaluation and Learning (MEL) plan
- C. Resumes/Curriculum Vitae (Key Personnel, 2 pages per person), position description for proposed technical and administrative staff managing the project (no more than 1 page per position), list of references (at least one superior, one subordinate and one peer) not associated with the applicant organization, and letters of commitment for key personnel.
- D. Project Organizational Chart (1 page).
- E. Past Performance Information and Summary Chart.

Technical Approach must include the following:

1. A context analysis that demonstrates a clear understanding of the challenges and opportunities that exist to address the drivers of chronic malnutrition, to improve health and nutrition outcomes and to strengthen human resources for health and local health systems; and a strategy to work with communities and stakeholders to overcome constraints and take advantage of opportunities. This analysis should include a focus on how conflict and gender dynamics may impact the achievement of the project purpose.
2. A detailed description of how expected results for each project objective described in the program description are to be achieved, how the core implementation and cross-cutting principles will be integrated, and how the project will ensure sustainability and institutionalization of activities after the life of the project.
3. A theory of change.
4. A logical framework that outlines results, objectives, verifiable indicators and assumptions that capture the entire picture of the project.
5. Rationale for why the proposed approaches are appropriate and realistic for the Guatemalan context.
6. An approach to strategically collaborate with various stakeholders, including the private sector.
7. An approach to include digital and mobile technologies to meet the needs of beneficiaries.
8. A clear articulation of how communities and municipalities will be selected. The selection process should follow a transparent methodology, use objective criteria and be based on a balance of factors that capture the need to improve health outcomes, and potential opportunities for interventions to make an impact and coordinate with USAID activities in the project area that could allow for a multiplying effect on reducing chronic malnutrition. Municipalities must align with Feed the Future municipalities in Quiche or Huehuetenango or both.
9. Identification of the relevant gender issues and social inequities and an approach to address those issues.

d.1.1 Adaptive Management Approach and Monitoring, Evaluation and Learning Plan must include the following:

Applicants must provide a draft five (5) page Adaptive Management Approach and MEL as an annex. Key components of the plan include:

1. An adaptive management approach that is integrated throughout the project's implementation, monitoring, research and evaluation processes and allows for continuous learning and adaptation of implementation as needed. This approach should allow for strategically and continuously refining and testing the project's theory of change and adapting activities based on new evidence and meaningfully address gender barriers.
2. Approach for monitoring indicators during implementation.
3. Relevant impact and outcome indicators that will be used to objectively measure progress towards achieving each of the project's objectives, including life-of-project targets.
4. Strategic evaluation and learning agenda, that includes key research objectives and questions around critical knowledge gaps and must provide a clear rationale for how the learning agenda was developed and how it will enhance project activities to reach the objectives more effectively and efficiently.

d.2 Key Personnel and Management Plan, Staffing must include:

d.2.1 Key Personnel must include: Applicants must submit a key personnel annex indicating how the Recipient will fill the five key personnel identified by USAID as essential to implement this activity. The annex should describe how the proposed personnel will contribute to both the technical and administrative needs of this project. Applicants must include a one-page position description, CVs not to exceed two pages per candidate, a list of references (at least one superior, one subordinate and one peer) not associated with the applicant organization, and signed commitment letters from the proposed candidates indicating date of availability and period of commitment.

All key personnel are expected to be proficient in Spanish and English. USAID may consider key personnel who do not possess these language skills, if the Applicant provides an explanation of the critical value of the proposed individual and a plan to overcome language deficiencies.

The five key personnel listed below are recommended as essential for the implementation of this activity.

1. Chief of Party (COP)

The COP will provide overall strategic, technical leadership, and oversight to the program. S/he must have an appropriate balance of technical, managerial, and interpersonal skills and experience. The COP must have depth and breadth of technical expertise and experience in designing and implementing comprehensive public health interventions, and related capacity strengthening. S/he must have the requisite management expertise and established professional relationships to fulfill the requirements detailed in the Program Description. Experience in interacting with host country agencies, including central and local government, development partners, civil society and community-based organizations is essential. S/he will be responsible for overall financial

management and administration of the activity. The minimum requirements for this position are as follows:

A Master's Degree in a related field of study and a minimum of 7 years of progressively increasing responsibility, working on large-scale, complex international development assistance and public health programs.

OR

A Bachelor's degree in a related field of study and a minimum of 10 years of progressively increasing responsibility, working on large-scale, complex international development assistance and public health programs.

AND

- A proven track record of successful performance of duties necessary to provide technical assistance and achieve the results contained within this program description.
- Demonstrated supervisory experience work that involved direct leadership of professional and support staff, oversight and evaluation of staff performance and deliverables, and contract management.
- Experience in managing donor funded procurements and familiarity with financial reporting and compliance requirements.
- Experience advising senior policymakers, host country entities, including central and local governments, development partners, civil society and community-based organizations on health, nutrition and related policies and devising standards, guidelines and strategies and working with local and regional health authorities and communities to institutionalize activities.
- Demonstrated experience with progressively increasing responsibility for designing, managing, and implementing complex health activities, including in at least two of the following: Nutrition; Maternal, Neonatal, Child Health; Family Planning; Reproductive Health; and Water and Sanitation in developing countries involving multiple stakeholders and implementing partners.
- Demonstrated ability to provide oversight of local capacity development efforts.
- Demonstrated experience strengthening service delivery and health systems.

2. Technical Director

The Technical Director is responsible for the overall strategic and technical vision and implementation in the areas of nutrition, family planning, maternal and child health, WASH, and health systems strengthening. The skills and experience of this position must complement those of the COP, with an emphasis on technical public health expertise. The minimum requirements for this position are as follows:

- A Bachelor's degree in a related field of study and a minimum of 7 years of progressively increasing responsibility, working on public health programs in a developing country context.

- Demonstrated experience with progressively increasing responsibility for designing, managing, and implementing complex health activities, including at least two of the following: Nutrition, Maternal-Neonatal-Child Health, FP/RH, nutrition, and WASH programming in developing countries involving multiple stakeholders and implementing partners.
- Demonstrated hands-on experience in building government, non-government, and community capacity to address health issues.

3. Technology and Innovation Advisor

The Technology and Innovation Advisor will be responsible for the development of an approach that integrates science, information and communication technology and innovation approaches into activities. S/he will propose and offer guidance on programming that increases the use of technology, including digital technologies, to improve development outcomes and to empower communities.

The minimum requirements for this position are as follows:

- A Bachelor's degree or above in Media, Communications, Technology, Innovation Management, International Development or a related subject, plus a minimum of 5 years of relevant experience working in technology and innovation/entrepreneurship, and/or international development.
- Direct experience promoting user-friendly and sustainable technology solutions or other innovations for vulnerable populations.

4. Partnerships Manager

This individual will be responsible for developing and overseeing partnerships and sub-grants with a range of stakeholders, including the private sector, other donors, academia, civil society organizations and faith based-organizations. The minimum requirements for this position are as follows:

- A Bachelor's Degree or above in Public Health, Business, Economics or other relevant field, plus a minimum of 5 years of experience in administrative and financial management of large-scale, complex, international development assistance programs.
- Demonstrated experience in developing partnerships with the private sector in the relevant technical areas.

5. Monitoring, Evaluation and Learning Advisor

This individual will be responsible for development of monitoring, evaluation, and operational research plans to inform program management and strategic direction. The minimum requirements for this position are as follows:

- A Bachelor's Degree or above in Monitoring and Evaluation, Organizational Development, Political Science, or a related field, plus a minimum of 5 years of relevant experience in monitoring and evaluation in donor funded projects.

- Demonstrated experience in collecting, analyzing and reporting on social and health statistical data.
- Experience in design and implementation of surveys, health status assessments and reporting, including experience with survey instruments, statistical analysis and user-friendly presentations.
- Demonstrated experience collecting data from low literacy populations.

d.2.2 Management and Staffing Plan must include: The applicant must submit a plan that is responsive and comprehensive, including staffing/recruiting plans, and ability to assemble technical assistance teams. This must include a clear description of roles and responsibilities among the home office and office(s) in Guatemala, organizational chart, approach, timeframe for mobilization as well as a comprehensive nondiscrimination policy for their workplace and award. A description of how the plan will achieve gender equity in staffing on all levels. USAID encourages the inclusion of indigenous and marginalized populations, including Mayan speakers, in the staffing plan.

The applicant shall include a description of the approach that it will use to ensure coordination, collaboration and information sharing with other USAID, U.S. Government Agencies, other international donors, the GOG, including municipal governments and private sector stakeholders and civil society organizations, including any costs associated with such coordination.

Regional experience, particularly in Guatemala, is preferred. The project team may be composed of either U.S., Third Country National (TCNs) or Guatemalan professionals. It is the Applicant's responsibility to propose a team that meets all of these requirements.

6. Business (Cost) Application Format

The Cost/Business Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The cost/business application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

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

a) Cover Page (See Section D.3 above for requirements)

b) SF 424 Form(s)

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

Instructions for SF-424	http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html
Assurances (SF-424B)	https://www.grants.gov/web/grants/forms/sf-424-family.html

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

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with the application:

- (1) “Certifications, Assurances, Representations, and Other Statements of the Recipient” document found at <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>
- (2) Assurances for Non-Construction Programs (SF-424B)
- (3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

d) Budget and Budget Narrative

The budget must include a breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional and/or country offices.

Individual subcontractors/sub-awardees must include the same cost element breakdowns in their budgets as applicable.

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The Budget Narrative must be thorough, including sources for costs to support USAID’s determination that the proposed costs are fair and reasonable.

The budget shall include costs to ensure an appropriate coordination, collaboration and information sharing with other USAID, U.S. Government Agencies, other international donors, the GOG, including municipal governments and private sector stakeholders and civil society organizations.

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

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Section H, Annex 1 for Summary Budget Template
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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

- 1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
- 2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
- 3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies that do not exceed the published U.S. Government per diem rates for the localities concerned. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
- 4) Equipment and Supplies – must include information on estimated types of equipment, models, supplies, and the cost per unit and quantity. The Budget Narrative must include the purpose of

the equipment and supplies and the basis for the estimates.

- 5) Sub-awards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant’s budget, including those related to fringe and indirect costs..
- 6) Sub-grants – The applicant should identify the activities to be implemented through sub grants. The Applicant shall describe its approach to, and how it will manage, the competition and award of sub-awards in line with USAID best practices and the Guatemalan context.
- 7) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.
- 8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only

Eligibility: Any applicant

Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA

Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency’s discretion, a provisional rate may be set forth in the award subject to audit and finalization. See [USAID’s Indirect Cost Rate Guide for Non Profit Organizations](#) for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

Eligibility: Any applicant that has never received a NICRA

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply

to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

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

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant's requested method. The Applicant should submit the following:

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

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

- 9) Cost Sharing – refers to the resources a recipient (i.e., implementing partner) contributes to the total cost of an agreement. Cost share becomes a condition of an award when it is part of the approved award budget. Cost share must be verifiable from the recipient's records. For U.S.

organizations, cost share is subject to the requirements of 2 CFR 200.306, and for non-U.S. organizations it is subject to the Standard Provision “Cost Share”; and can be audited. If a recipient does not meet its cost share requirement, the AO may apply the difference in actual cost share amount from the agreed-upon amount to reduce the amount of USAID funding for the following funding period, require the recipient to refund the difference to USAID when the award expires or is terminated, or reduce the amount of cost share required under the award

10) Leverage - The Recipient is encouraged to seek opportunities to leverage new private sector resources (money, technologies, or expertise) and include a meaningful leverage in any agreements with the private sector.

e) Approval of Subawards

The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department’s Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant’s plan for mitigation.

e) Dun and Bradstreet and SAM Requirements

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

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

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

DUNS number: <http://fedgov.dnb.com/webform>

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

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

f) Institutional Capacity and Past Performance

The applicant must include demonstrated recent, relevant technical and field experience and quality of performance in programs or projects of similar technical content and scope in developing countries, including a description of experience and representative accomplishments of the organization in conducting activities of the type required under this NOFO.

g) Branding Strategy & Marking Plan

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award (Please find the template in Annex 4)

h) Funding Restrictions

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

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SECTION E: APPLICATION REVIEW INFORMATION

E.1 Technical application Evaluation Criteria

The following evaluation criteria and sub-criteria are in descending order of importance:

The technical application will be the most important factor for consideration in selection for award. The Technical Application must be specific, complete and presented concisely and demonstrate the applicant’s capabilities and expertise with respect to achieving the goals of this activity. Technical applications must take into account requirements of the program and evaluation criteria found in this NOFO. The below chart details the rating scheme that will be used to review the criterion:

Adjective	Merit Review Criterion
<p>1. Exceptional</p>	<p>An Exceptional application has the following characteristics:</p> <ul style="list-style-type: none"> • A comprehensive and thorough application of exceptional merit. • Application meets and fully exceeds the Government expectations or exceeds NFO objectives and presents very low risk or no overall degree of risk of unsuccessful performance. • Strengths significantly outweigh any weaknesses that may exist.
<p>2. Very Good</p>	<p>A Very Good application has the following characteristics:</p> <ul style="list-style-type: none"> • An application demonstrating a strong grasp of the objectives. • Application meets NFO objectives and presents a low overall degree of risk of unsuccessful project performance. • Strengths significantly outweigh any weaknesses that exist.
<p>3. Satisfactory</p>	<p>A Satisfactory application has the following characteristics:</p> <ul style="list-style-type: none"> • An application demonstrating a reasonably sound response and a good grasp of the objectives. • Application meets NFO objectives and presents a moderate overall degree of risk of unsuccessful project performance. • Strengths outweigh weaknesses.
<p>4. Marginal</p>	<p>A Marginal application has the following characteristics:</p> <ul style="list-style-type: none"> • The application shows a limited understanding of the objectives. • Application meets some or most of the NFO objectives, but presents a significant overall degree of risk of unsuccessful project performance. • Weaknesses equal or outweigh any strength that exists.
<p>5. Unsatisfactory</p>	<p>An Unsatisfactory application has the following characteristics:</p> <ul style="list-style-type: none"> • The Application does not meet the NFO objectives or requires a major rewrite of the application. • Presents an unacceptable degree of risk of unsuccessful project

	<p>performance.</p> <ul style="list-style-type: none"> • Weaknesses demonstrate a lack of understanding of the Government’s needs. • Weaknesses significantly outweigh any strength that exists.
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CRITERIA: Technical Approach:

a) Sub-criterion: Technical Approach

The application will be evaluated on the extent to which the application includes a demonstrated approach that is effective and innovative with a clear understanding of the challenges and opportunities in achieving the objectives outlined in the program description. This approach includes a clear conceptual, theory of change and logical framework to address the problem statement and to achieve programmatic objectives and results outlined in the program description in the given timeframe. It also includes a clear and efficient approach for the design, establishment, management, transparency and sustainability of activities and that is adaptable to the specific context of different communities and municipalities. USAID will review that the Recipient integrates the cross-cutting principles of gender, social inclusion, and empowerment of indigenous and other marginalized populations. The recipient shall include approaches to engage with the private sector, to build on existing activities of private sector partners and to appropriately address the needs of beneficiaries through digital and mobile approaches while adhering to the Principles of Digital Development. The proposed approach shall be appropriate and realistic for the Guatemala context based on knowledge and understanding of Guatemalan context and GOG priorities and initiatives

b) Sub-criterion: Adaptive Management Approach and Monitoring, Evaluation and Learning Plan

The Adaptive Management Approach and MEL will be evaluated on the extent to which it effectively integrates strategic collaboration and adaptive management throughout project implementation and proposes an effective approach for refining and testing the project’s theory of change and includes a robust learning agenda. It includes a specific monitoring and evaluation approach that allows the Recipient and USAID to completely gauge project progress and that includes gender and conflict sensitivity considerations and strategies.

CRITERIA: Management Plan, Staffing, and Key Personnel:

a) Sub-criterion: Key Personnel

Key personnel must convincingly demonstrate the ability to successfully and effectively implement the proposed program and describe how the proposed personnel will contribute holistically to both the technical and administrative needs of a project of this description, size and proposed results. Proposed key personnel should comply with the requirements included in the instructions section.

b) Sub-criterion: Management and Staffing Plan

Comprehensiveness of the Management and Staffing Plan in being responsive, specific on roles and responsibilities among the home office and office(s) in Guatemala, and demonstrating the technical resources and expertise required to realistically and efficiently accomplish the project’s technical, coordination, and communications needs. Extent to which the management and staffing plan ensure that activities in the proposed treatment areas are effectively covered.

Additional Information for the technical application

Institutional Capacity and Past Performance: The applicant must include demonstrated recent, relevant technical and field experience and quality of performance in programs or projects of similar technical content and scope in developing countries, including a description of experience and representative accomplishments of the organization in conducting activities of the type required under this NOFO. The applicant information on past performance must be provided in accordance with the table below.

Program Description Summary	Primary location of work	Term of performance	Dollar Value	Award Type & Number	Organization/Contracting Entity/Technical Officer	e-mail address and Tel.
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USAID may use performance information obtained from other than the sources identified by the applicant/subcontractor. USAID will utilize existing databases of contractor performance information and solicit additional information from the references provided herein and contact the individual(s) indicated as well as others.

NOTE: USAID relies on the prime organization’s review of partner/subcontractor institutions. However, if deemed necessary to ensure prudent use of USG funds, USAID may conduct its own past performance review of proposed partners/subcontractor institutions. In cases where the applicant lacks relevant performance history and information on performance is not available then the applicant will not be evaluated favorably or unfavorably on performance. USAID reserves the right to contact references other than the ones provided by the applicant in its application and use this information in the pre-award risk assessment.

E.2 Cost Application Evaluation Criteria

Cost is not a weighted factor. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit. The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the program.

The cost applications of the **apparently successful applicant** will be evaluated for cost effectiveness including the level of proposed cost share. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In

addition, the organization must demonstrate adequate financial management capability, to be measures for a responsibility determination.

The budget must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.). The budget narrative should be organized using the same structure of the budget.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Upon completion of the evaluation process, the AO may notify the apparently successful awardee that they are being further considered for an award. This notice will be sent electronically to the authorized representatives of the apparent successful applicant. In addition, USAID may provide electronic debriefings to unsuccessful applicants following the procedures included in ADS 303.3.7.2.

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

2. Administrative & National Policy Requirements

Any resulting award shall be made and administered in accordance with the following which may be found at <http://www.usaid.gov/ads/policy/300/303>:

- For US organizations in accordance with 2 CFR 700, 2 CFR 200, and the applicable Standard Provisions.
- For Non-US Nongovernmental Organizations in accordance with 2 CFR 200 the Standard Provisions for Non-US Non-Governmental Organizations.
- Federal Acquisition Regulations (FAR) Part 31 for profit organizations
- ADS 303

3. Reporting Requirements

All Plans and Reports will be submitted in English. The quarterly, annual, and final reports will be submitted in English with an Executive Summary in English and Spanish unless otherwise specified. Documents will be by email (one version in the original software program and one version in PDF). All reports will be submitted to the AOR with copy to the AO and the Acquisition and Assistance Specialist.

Financial Reporting

3.1 Quarterly Financial Reports

The Recipient will submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format.

Electronic copies of the SF-425 can be found at: <https://www.usaid.gov/forms/sf-425>.

The financial reports are due 30 days after the end of each fiscal year quarter on October 30, January 30, April 30, and July 30.

3.2 Quarterly Accrual Reports

The Recipient will submit an estimated accrual report including the following information: (i) agreement number; (ii) recipient's name; (iii) total amount obligated; (iv) total amount invoiced for; (v) total amount expended but not yet invoiced for; (vi) remaining unexpended funds; (vii) estimated completion date; and (viii) any pertinent information, such as analysis, projections for the next quarter, a summary showing planned expenditures against current obligations. The accruals report will be presented in English to the AOR and other designated administrative staff, on a quarterly basis (15 days previous to the close of each fiscal year quarter) in the format to be provided to the Recipient upon award signature.

3.3 Technical Reporting

A. Initial Assessment

B. Annual Work Plan

Within 45 days of award of the Cooperative Agreement, the Recipient will submit for USAID AOR approval its detailed Annual Implementation Plan (or Work Plan) covering the period from award date through September 30, 2019. The Plan will include a description of activities, timelines and budgets, selected municipalities, and will identify any start up activities required, as well as critical paths and milestones for the period of the agreement. The Recipient will include in the Work Plan all results and activities described in the Program Description, including an adaptive management approach, a private sector and partnerships approach and a technology approach, the applicable Environmental Mitigation Measures, a branding implementation and marking plan, and a management plan. In each succeeding year, the Recipient will prepare an Annual Work Plan for the USG fiscal year (October 1 to September 30).

The budget will be developed by line item and by intermediate and sub-intermediate results.

All Annual Work Plans must include:

- Activity Approach that includes an analysis of obstacles hindering achievement of objectives; proposed accomplishments for the fiscal year, expected progress toward achieving results that are linked to the Activity MEL Plan; information on how activities will be implemented; an update on how the activity will maximize the sustainability of results, successfully transition ownership of activities to the host country and when possible indigenous implementers
- Implementation Plan Matrix: Organized according to activity objectives, that identifies proposed accomplishments for the fiscal year, tasks, activities, timeframe and expected outputs or progress to achieve expected results and targets. Timeline for implementation of the year's proposed activities, including target completion dates.
- Target Setting: The Recipient will work collaboratively with the AOR to set annual activity targets that will contribute to reaching strategic plans. Annual (and Life of Activity) targets will also contribute to USAID Guatemala targets and align with those established for USG Foreign Assistance as shown at <https://www.state.gov/f/indicators>. Initial activity target

setting will be informed by existing and activity baseline data that should be available within 180 days of activity start-up. Annual targets must also be established for each indicator and presented to the AOR.

- Budget: Detailed budget by principal activities, funding source, and by line item. Beginning in year two (2), the Annual Work Plan must show planned expenditures by quarterly and actual expenditures to date.
- Updated Gender Integration Plan that addresses the gender inequalities and inequities that affect health of women, children and men. The plan should consider: how anticipated activities might affect women and men differently; the impact the activities might have on gender inequalities; policy, legal and socio-cultural constraints to women and men fully benefiting from the activity and how activities can remove or compensate for those constraints; how the different roles and status of women and men might affect activity implementation.
- Updated Partnerships and Coordination Approach that describes a comprehensive approach that the Recipient will use to develop and sustain partnerships and coordination, collaboration and information sharing with other USAID and USG partners, international donors, GOG institutions, government entities, civil society and indigenous organizations, and other relevant stakeholders.
- Updated Technology and Innovation Approach that describes a comprehensive approach to employing and scaling up digital technologies that support activity objectives.
- Updated Adaptive Management Approach that summarizes how, if applicable, the activity will adapt programming, including incorporating lessons learned during the previous year(s) of the activity to adjust programming to achieve results.
- Updated Family Planning Compliance Plan that describes how the Recipient will ensure compliance with all relevant and standard provisions regarding implementation of family planning funds.
- Updated Activity Fact Sheet: in Spanish and English, that summarizes pertinent information regarding the activities that can be used for preparing media kits and for disseminating to interested stakeholders.
- Communication Materials: A description of any information, communication, education and training materials planned.
- Training Plan that describes all planned local and international training events and conferences.

3.4 Environmental Compliance Mitigation Measures

The AOR and Mission or Bureau Environmental Officer will review all ongoing and planned activities to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, if the life of the activity funding ceiling will be eclipsed, or if a time extension is required, it will prepare an amendment to the documentation for USAID review and approval. No new activities will be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation will be halted until an amendment to the documentation is submitted and written approval is received from USAID. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the

environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10 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.

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 will govern. No activity funded under this Cooperative Agreement (CA) 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.

3.5 Activity Monitoring, Evaluation, and Learning Plan

The MEL Plan outlines the process for monitoring, evaluating, and reporting progress towards achieving activity outcomes and results, and it specifies performance indicators and benchmarks to be tracked, data collection and quality assurance methods, and processes for using data to make program refinements. The MEL Plan will clearly describe key questions, priorities and challenges in measurement of program achievements. The MEL Plan will serve as the standard against which this activity results will be evaluated.

MEL plan

- Upon award, the Recipient will work with the AOR to ensure that indicators are aligned with the Mission's development objectives and results framework, as well as with any required USAID strategic or programmatic objectives.
- Performance Indicators. The Recipient will develop a MEL Plan that includes indicators that will measure progress and achievement of the goal, purpose, intermediate results, sub-intermediate results and outputs at each level. Additional indicators must be included to monitor changes in the status of the activity's assumptions. The Recipient will be held accountable for the indicators at the purpose, IR, Sub-IR, and output levels. Indicators must align with the USAID/Guatemala CDCS, as well as with required USAID's Global Health Strategic Framework. Activity-level performance indicators will, at a minimum, include all required and applicable standard indicators as defined by the Department of State and USAID Standard Foreign Assistance Indicators. Each indicator reported by the MEL Plan must be supported by a Performance Indicator Reference Sheet (PIRS), which must include a summary of the following key information: detailed indicator definitions; instructions for indicator calculations (e.g. percentages); expected/allowable data source(s); known limitation of the indicator data; unit of measure; data disaggregation; data collection methods; data analysis methods; and frequency, schedule and reporting responsibilities. All Standard Foreign Assistance indicator data collected at activity level must be reported to USAID/Guatemala on a quarterly basis, at a minimum. The Recipient must ensure that activity-level data collected complies with USAID data quality standards.
- Baselines and Targets: The Recipient will establish baselines and targets for each indicator included in the Results Framework. Baselines and targets will be refined over the course of

the activity implementation if needed and with the approval of the AOR. Data sources for establishing baselines and targets will include primary data collection (e.g. surveys or formative research) and secondary data analysis of alternate sources (e.g. national household or sentinel surveys), and activity-specific reports and surveys. If collection of the baseline data is delayed past the onset of initial activity implementation, the Recipient must justify the reasons in the activity's MEL.

- Within 45 days of award, the Recipient will submit an electronic version of the final approved MEL Plan for the time-frame of the activity.

Evaluation and Learning Agenda

- The Recipient is encouraged to create a strategic evaluation and learning agenda, i.e., a set of evaluation questions that should be answered to ensure successful implementation. For example, questions about national needs, perceptions of the activity, barriers to achieving targeted outcomes, piloting of tools, evidence gaps, etc. Because USAID may procure separately an independent impact evaluation of this award, the Recipient should focus their evaluation agenda on more formative and process evaluation questions and situational or needs assessments. Such internal evaluations (conducted by the awardee) are subject to review and approval by USAID.
- Data generated by the plan will be used to design and modify programmatic approaches to improve impact, in consultation with USAID. The Recipient should carry out formative research on priority groups of interest, including potentially generating stigma and discrimination data on these populations, Sustainability Index and other contextual and economic analysis to feed into intervention design.

External Evaluation: In accordance with USAID's Evaluation Policy, USAID/Guatemala may contract an external evaluation to answer key evaluation questions relating to the Recipient's performance and the achievement of planned results.

3.6 Quarterly Performance Reports

Quarterly Reports will be due thirty (30) days after the end of each quarter, on January 30, April 30, and July 30. These reports must include:

- Activities undertaken and progress toward achieving results during the period
- Any implementation problems and proposed corrective actions or necessary adjustments of activities and timelines and associated financial information on additional expenses, available funding for the remainder of the activity and any variances from planned expenditures.
- Alliances established during the quarter Planned activities for each expected result for the next quarter
- Gender considerations in implementation and performance during the quarter
- Description of efforts to ensure coordination, collaboration, and information sharing during the reporting period
- Other pertinent information, including a statement of accrued expenditures, analysis or explanation of cost overruns or underruns
- A certification that all training events have been entered into the TraiNet database

- Data for the Performance Indicators in the MEL plan. This matrix with the indicator report must be submitted as an annex to the quarterly reports.
- List of all documentation uploaded to the DEC during the quarterly reporting period.
- Cost share resources provided by the recipient during the prior quarter.
- Leverage resources provided by the recipient during the prior quarter (if applicable).

The fourth quarterly report will be replaced by the Annual Performance Report and due on October 30 of each year.

3.7 Annual Performance Report

An annual report will be due 30 days after the end of the Fiscal Year on October 30 and reviewed by USAID/Guatemala and the Advisory Committee as part of the Annual Work Plan review process, and USAID will provide final approval. Annual Performance Reports are not to exceed 50 pages in length, including an Executive Summary that should not exceed 5 pages in length. Additional supporting information may be included in Annexes to the report.

Annual Performance Reports must include the following

- Extent to which objectives and results in the Annual Work Plan were achieved
- Highlights of major achievements during the year
- Significant implementation problems and challenges encountered during the year and mitigation measures taken to address those challenges
- Description of efforts and progress achieved in applying and incorporating the core implementation principles of CLA, use of local systems and building local capacity, and scale up and sustainability of successful approaches
- Description of efforts to ensure coordination, collaboration, and information sharing during the reporting period and any problems encountered, agreements reached and actions taken to ensure coordination with relevant stakeholders
- Progress achieved with regard to MEL Plan indicators and targets for the fourth quarter and entire fiscal year.
- Updates on analysis related to evaluation questions and the learning agenda in the MEL Plan
- Environmental compliance information, as applicable
- Success stories for publication

3.8 Final Performance Report

A draft Final Performance Report in English is required within 30 days of the expiration of this Agreement for USAID's comments. The Final Report will be due 60 days after expiration of the agreement. The report should include the following:

- An Executive Summary describing the activity, overall accomplishments, lessons learned, and conclusions about future assistance needs.
- Overall description of the activities and tasks implemented.
- Description of overall achievements and results during the life of the activity.
- Assessment of progress made in achieving the activity's goal, objectives, and expected results.

- Any shortcomings or difficulties encountered, and reasons why expected results were not met, if applicable.
- Summary of MEL Plan indicator results and an assessment of indicators' relative usefulness in tracking activity progress.
- Summary of key findings from internal evaluations and assessments.
- Summary of learning activities, including progress made in responding to key research questions around critical knowledge gaps in the learning agenda.
- Changes in the activity environment over the course of implementation.
- Changes in activity design and implementation, as well as summary of adaptive management approaches applied.
- Summary of lessons learned.
- Recommendations regarding unfinished work, if applicable.
- Recommendations relevant to future project design and implementation.
- A list of all reports, publications, evaluations and information and media products produced under this agreement, as well as confirmation that all products were submitted to the USAID Development Experience Clearinghouse (DEC).

Once approved by the AOR, the Recipient will submit an electronic copy of this report to the USAID/Guatemala and upload an electronic copy to the DEC through electronic means at the following email address: docsubmit@dec.cdie.org.

4. Other Requirements

4.1 Annual Portfolio Review

Annually, the Recipient will coordinate with the USAID to brief staff from USAID/Guatemala and the Advisory Committee. The briefing should present all cumulative results against activity targets, achievements in relation to the expected results for the previous year, challenges, lessons learned and projected activities. This annual meeting will also serve as the aforementioned strategy review session.

4.2 Security Plan

The Recipient will submit a detailed Security Plan within 45 days of award of the Cooperative Agreement that describes the Recipient's plan to safeguard all operations. The plan is to be implemented and maintained by all sub-awardees as well. The Recipient will share the security plan with the Agreement Officer and AOR, but it will not be approved by USAID personnel. The plan will include the following:

1. Procedures for reporting and addressing security threats;
2. Procedures for reporting any deaths related to the project;
3. Procedures for reporting and addressing any persons missing or kidnapping incidents;
4. Name and contact information of security contact person for the head office and regional office(s);
5. An internal cascade list for communicating with staff to be updated and maintained by the Recipient.

The Recipient will provide the name, address, and telephone numbers of the Chief of Party and their designee to USAID as principal contacts in case of security situations/emergencies. Recipients are responsible for sharing information with their staff.

4.3 Closeout/Demobilization Plan

Six months prior to the completion date of the Cooperative Agreement, a close-out/ demobilization plan including the proposed disposition of equipment, including (if any) vehicles, will be submitted to the USAID AO for approval with copy to the AOR. The close-out plan will include a list of actions that are typically required for close-out activities such as to ensure that all program activities are completed; conduct an analysis of progress to date and, if necessary, expedite timelines to ensure completion; conduct a thorough pipeline analysis to ensure that there are sufficient funds available to finalize activities and complete all requirements; ensure that all reports are submitted in accordance with the terms and conditions of the agreement. All subcontracts and/or sub-awards are completed and payments settled, if applicable. Submission of a final inventory of all residual non-expendable property that was acquired or furnished by the Government under the Cooperative Agreement and request disposition instructions for any property acquired or furnished by the Government under the program. Particular care should be taken regarding vehicles, since their legal transfer may require a special procedure that would need to be completed before the completion date of the award. Ensure that all staff members are provided with severance and other payments, if applicable, in accordance with local labor law. Ensure that all audit requirements are addressed, if applicable. For U.S. organizations, demobilization plans need to include: closing of offices (remember to cancel phone, electricity, subscriptions, etc.), disposition of all equipment (including vehicles), disposition of residual supplies, repatriation of expatriate staff, household and POV shipments, etc. In particular, USAID requests submission of all electronic and hard copies of reports, documents, studies, photographs, video, and all other published and unpublished intellectual property.

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The point of contact for this NOFO and any questions during the award process is as follows:

Ms. Maritza Sarmiento
Acquisition and Assistance Specialist
Email: msarmiento@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this NOFO must request it in writing by the date listed on the cover letter before the submission of their full application. Oral explanations or instructions given before award will not be binding.

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SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the title page with the following legend:

“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}” and mark each sheet of data it wished to restrict with the following:

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

Recipient’s Staff Support, Administrative and Logistics Arrangements and Legal Registration in the Cooperating Country: In accordance with Standard Provision entitled “Regulations Governing Employees”, the Recipient will be responsible for all administrative support and logistics required to fulfill the requirements of this Agreement. These include all travel arrangements, appointment scheduling, secretarial services, report preparations services, printing, and duplicating.

In addition, the Recipient is responsible to comply with all applicable local laws regarding fringe benefits for its local employees, local business operations, including but not limited to the registration of its offices in the local country, etc.

Adherence to IVA program is a requirement for the prime recipient and for any sub-awardees; exemption procedures will be provided to the Recipient soon after award. Use of EXENIVA form is authorized only for official project related procurement.

The recipient will appoint two individuals to be trained and provided access to EXENIVA. The names of the appointed persons will be provided to the AOR.

ANNEX 1 - ABBREVIATIONS AND ACRONYMS

Title: Improved Health and Nutrition Activity in the Western Highlands

AO	Agreement Officer
AOR	Agreement Officer's Representative
DAS	Dirección de Área de Salud
DHS	Demographic and Health Survey
DMS	Distrito Municipal de Salud
FP	Family Planning
FTF	Feed the Future
GFSS	Global Food Security Strategy
GOG	Government of Guatemala
HRH	Human Resources for Health
IGSS	Guatemalan Social Security Institute
MEL	Monitoring, Evaluation, and Learning
MNCAH	Maternal, Newborn, Child, and Adolescent Health
MOH	Ministry of Health and Social Assistance
NSBC	Normative and Social Behavior Change
PYD	Positive Youth Development
RH	Reproductive Health
SESAN	Secretariat for Food and Nutritional Security
TA	Technical Assistance
USAID	United States Agency for International Development
USG	United States Government
WASH	Water Sanitation and Hygiene
WH	Western Highlands
WHO	World Health Organization

ANNEX 2 - RESOURCES

Resources:

- DHS Guatemala, 2015. Ministerio de Salud Pública y Asistencia Social - MSPAS/Guatemala, Instituto Nacional de Estadística - INE/Guatemala, Secretaría de Planificación y Programación de la Presidencia - Segeplán/Guatemala and ICF International. 2017. Encuesta Nacional de Salud Materno Infantil (ENSMI) 2014-2015: Informe Final. Rockville, Maryland, USA: MSPAS, INE, Segeplán and ICF International.
<https://dhsprogram.com/pubs/pdf/FR318/FR318.pdf>
- Essential Nutrition Actions.
http://apps.who.int/iris/bitstream/handle/10665/84409/9789241505550_eng.pdf;jsessionid=682B4AAF434528523C2B4D04DE7AEFF3?sequence=1
- Family Planning High Impact Practices. <https://fphighimpactpractices.org>
- Food and Agriculture Organization/World Health Organization Nutrition and Development – A Global Assessment, 1992. <http://www.fao.org/docrep/017/z9550e/z9550e.pdf>
- Formative Research to Inform Adolescent Programming in Guatemala: Engagement for Health, Nutrition and Sustainable Development Summary report – February 2018.
https://docs.wfp.org/api/documents/WFP-0000063963/download/?_ga=2.138140537.897169052.1537542832-2081804597.1537542832
- Global Nutrition Report 2017: Nourishing the SDGs. Bristol, UK: Development Initiatives.
http://globalnutritionreport.org/wp-content/uploads/2017/11/Report_2017-2.pdf
- Guatemala Health System Assessment, August 2015. Bethesda, MD: Health Finance & Governance Project, Abt Associates Inc.
<[https://www.usaid.gov/sites/default/files/documents/1862/Guatemala-HSA%20 ENG-FULL-REPORT-FINAL-APRIL-2016.pdf](https://www.usaid.gov/sites/default/files/documents/1862/Guatemala-HSA%20ENG-FULL-REPORT-FINAL-APRIL-2016.pdf)>
- K4health mHealth Planning Guide Tools. <https://www.k4health.org/toolkits/mHealth-planning-guide/planning-tools>

- Lancet Maternal and Child Nutrition Series (2013).
<http://www.thelancet.com/pb/assets/raw/Lancet/stories/series/nutrition-eng.pdf>
- Macroeconomics and Health: Investing in Health for Economic Development. World Health Organization. Macroeconomics and health: investing in health for economic development. Report of the commission on macroeconomics and health. Geneva: WHO; 2001.
<http://www1.worldbank.org/publicsector/pe/PEAMMarch2005/CMHReport.pdf>
- Principles for Digital Development. <https://digitalprinciples.org>
- Scaling Up Nutrition. <http://scalingupnutrition.org>
- Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING) Guatemala reports. <https://www.spring-nutrition.org/countries/guatemala>

Select previous USAID activities

- Health Communication Capacity Collaborative.
<https://healthcommcapacity.org/country/guatemala/>
- Nutri/salud: Proyecto Comunitario de Nutrición y Salud. <http://nutrisalud.insoft.com.gt>
- Food and Nutrition Technical Assistance III Project (FANTA III).
<https://www.fantaproject.org/countries/guatemala>
- Family Planning: Planfam Program.
<http://asociacionpasma.org/asociacionpasma/programas/programa-planfam/>
- Quality in Health-Calidad en Salud. <https://www.urc-chs.com/projects/quality-health-calidad-en-salud>
- Innovative approaches to social and behavior change communication (C-CHANGE). <http://c-changeprogram.org/where-we-work/guatemala>

- Supply chain strengthening. deliver.jsi.com/wp-content/uploads/2016/12/FinaCounRepo_GT.pdf

Government of Guatemala Strategies

- National Strategy to Prevent Stunting. <http://www.sesan.gob.gt/wordpress/wp-content/uploads/2017/07/Estrategia-para-la-Prevencion-de-la-Desnutricion-Cronica.pdf>
- National Decentralization Agenda. https://issuu.com/scep-gt/docs/v11-agenda_de_descentralizacion_sce

USAID and USG Strategies and Policies

- USAID Multi-Sectoral Nutrition Strategy (2014-2025). https://www.usaid.gov/sites/default/files/documents/1867/USAID_Nutrition_Strategy_5-09_508.pdf
- USAID Global Health Strategic Framework: Better Health for Development. https://www.usaid.gov/sites/default/files/documents/1864/gh_framework2012.pdf
- USG Global Water Strategy (2017). https://www.usaid.gov/sites/default/files/documents/1865/Global_Water_Strategy_2017_final_508v2.pdf
- Acting on the Call: Ending Preventable Child and Maternal Deaths: A Focus on the Journey to Self-Reliance. https://www.usaid.gov/sites/default/files/2018ActingontheCall_508.pdf
- Acting on the Call: Ending Preventable Child and Maternal Deaths: A Focus on Health Systems (2017). https://www.usaid.gov/sites/default/files/documents/1864/USAID_2017_AOTC_final.pdf

- Ending Preventable Maternal Mortality: USAID Maternal Health Vision for Action (2014).
<https://www.usaid.gov/sites/default/files/documents/1864/MCHVision.pdf>
- USAID Gender Equality and Female Empowerment Strategy (2012).
https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf
- USAID Youth in Development Policy (2012).
https://www.usaid.gov/sites/default/files/documents/1870/Youth_in_Development_Policy_0.pdf
- USG Global Food Security Strategy (2017-2022).
<https://www.usaid.gov/sites/default/files/documents/1867/USG-Global-Food-Security-Strategy-2016.pdf>
- The U.S. Strategy for Central America (Overview).
<https://www.state.gov/documents/organization/276138.pdf>
- Global Food Security Strategy Guatemala Country Plan 2018.
https://www.usaid.gov/sites/default/files/documents/1867/Guatemala_GFSS_Country_Plan_FINAL_Public_Version_7.11_508_Compliant.pdf
- USAID/Guatemala Conflict Vulnerability Assessment:
<https://www.google.com/url?q=https://www.usaid.gov/documents/1862/guatemala-conflict-vulnerability-assessment&sa=D&ust=1539707283423000&usg=AFQjCNEjUVpH6oxdhhtvIqOKKT7WPPfy6A>
- USAID/Guatemala Gender Assessment Final Report September 2018.
https://www.usaid.gov/sites/default/files/documents/1862/FINAL_FINAL_Gender_Analysis_GITA_GUATEMALA_Sept_14_2018.pdf

ANNEX 3 – USAID/GUATEMALA RELATED ACTIVITIES

Activity Name	Timeframe	Objective
Communities Leading Development	2016-2021	To empower citizens to identify and address their own development needs through a rigorous community-based development approach that strengthens the voices of underrepresented groups.
Feed the Future Guatemala Innovative Solutions for Agricultural Value Chains Project	2017-2022	To increase agricultural incomes and productivity, improve resilience for small-scale farmers and their families, and improve nutrition outcomes.
Feed the Future Guatemala Coffee Value Chains Project	2017-2022	To increase agricultural incomes and productivity, improve resilience for small-scale farmers and their families, and improve nutrition outcomes.
Global Health Supply Chain for Procurement & Supply Management	2016-2020	To support Ministry of Health efforts to improve the health supply chain performance and expand the availability of micronutrients, vaccines, family planning methods and other essential medicines.
Health and Education Policy Plus	2015-2020	To support health sector reforms in the areas of governance, policy and planning, nutrition, and health technical areas and to support civil society in advocating for those reforms.
Maternal Child Survival Program	2016-2018	To contribute to increased coverage and utilization of evidence-based, sustainable, and high-quality reproductive, maternal, newborn and child health, family planning and nutrition interventions at the household, community and

		health facility levels.
Nexos Locales	2014-2021	To strengthen municipalities' management of public services, financial management and procurement systems in order to increase their capacity to deliver quality services and reduce vulnerabilities to food insecurity, malnutrition, and natural disasters.
Partnerships for Prosperity (P4P) Nutrition and Water	2018 -TBD	Nutrition: To reduce stunting by partnering with the private sector 1) to address the root causes of chronic malnutrition and to reduce the associated child and maternal mortality and morbidity; and 2) to increase access to safe water in order to decrease chronic diarrhea.
Peace Corps Rural Extension Project in Guatemala	2017-2022	To support integrated improvements in food security, health, and nutrition and to foster sustainable rural development.
Surveillance System in Health and Nutrition (SIVESNU)	2008-2018	To deliver accurate, timely, reliable, and representative information on maternal and child health and nutrition indicators, with specific focus on stunting, anemia, and overweight/obesity, and anemia and micronutrient status.

ANNEX 4 – FEED THE FUTURE MUNICIPALITIES IN HUEHUETENANGO AND QUICHE

Department	Feed the Future 2018-2021
Huehuetenango	<ul style="list-style-type: none"> ● Chiantla ● La Libertad ● Todos Santos Cuchumatanes ● San Sebastián Huehuetenango ● Santa Cruz Barillas ● Jacaltenango ● Cuilco ● Concepción Huista ● La Democracia ● San Antonio Huista ● San Sebastian Coatan ● Santa Eulalia ● Union Cantinil ● Petatan
Quiché	<ul style="list-style-type: none"> ● Nebaj ● Chajul ● Cunén ● San Juan Cotzal ● Uspantán

ANNEX 5 - SUMMARY BUDGET TEMPLATE

The AO must require the submission of the SF-424A. The AO will require an additional detail summary budget in Section D (6), as follows:

Summary Budget						
Cost Elements	Year 1	Year 2	Year 3	Year 4	Year 5	Total
1. Labor						
2. Fringe Benefits						
3. Travel, Transportation, and Per Diem						
4. Equipment and Supplies						
5. Sub-awards						
6. Sub-grants						
7. Other Direct Costs						
8. Indirect Costs						
Estimated Cost (sum 1 to 8)						
9. Cost Share						
TOTAL AWARD BUDGET						

ANNEX 6 - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at: <https://www.usaid.gov/ads/policy/300/303maa> and <https://www.usaid.gov/ads/policy/300/303mab>). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations. The award will also contain the following “required as applicable” Standard Provisions:

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
		RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
		RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
		RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
		RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
		RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
		RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
		RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
		RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
		RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
		RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
		RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO

		PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (JULY 2015)
		RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
		RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
		RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
		RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
		RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (APRIL 2016)
		RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
		RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (JULY 2015)
		RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
		RAA7. SUBAWARDS (DECEMBER 2014)
		RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
		RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
		RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
		RAA11. PATENT RIGHTS (JUNE 2012)
		RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
		RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
		RAA 14. COST SHARE (JUNE 2012)
		RAA15. PROGRAM INCOME (DECEMBER 2014)
		RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
		RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)

		RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
		RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
		RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (APRIL 2016)
		RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

The AO must include the full text of all mandatory and required as applicable standard provisions in the award document.

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ANNEX 7: BRANDING AND MARKING PLAN TEMPLATE

BRANDING AND MARKING GUIDANCE AND TEMPLATE

FOR ASSISTANCE AWARDS

1. GUIDANCE

USAID’s policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.” This policy applies to assistance awards even when the award does not require any cost sharing.

Co-branding and co-marking means that the program name represents both USAID and the implementing partner, and the USAID identity and implementer’s logo must both be visible with equal size and prominence on program materials produced for program purposes. However, the AO, after consulting with the activity manager/requesting office, may determine that activity goals require that the USAID Identity be larger and more prominent, if USAID is the majority donor and the USAID funded activity or public communication is especially visible and important to USAID.

A host-country symbol or ministry logo or other U.S. Government seal or logo may also be added, if applicable.

Marking is not required for recipient’s offices, vehicles, and items the recipient procures for its own administrative use. The prohibitions on use of the USAID Standard Graphic Identity (see **320.3.1.5** and **320.3.1.6**) apply by USAID policy to recipients of grants and cooperative agreements.

GENERAL INSTRUCTIONS

This sample/template is based on ADS 320.3.3 and 2 CFR 700.16 and has the branding and marking requirements for assistance awards only. **The recipient, by responding to the questions in *italics*, will be able to substantially comply with the ADS and CFR requirements.**

When preparing these documents use the following guidance:

- USAID identity must follow guidance laid out in the USAID Graphic Standards Manual
- No contractor logos
- No acronyms
- Do not use other competing identities (unless granted an exception by the appropriate USAID officer.)
- Include the word “Project” at the end of the name of the activity
- Do not use add a slash after USAID to add the project name, it is reserved for MIssions, such as USAID/Guatemala.
- Do not use project names that look like a brand

key/legend: **To be completed by the partner**

2. TEMPLATE

“USAID BRANDING STRATEGY”

AWARD TITLE

AWARD NUMBER

DATE OF PLAN

1) Program Name

[Name] (Follow guidelines in March 16, 2016 USAID Graphic Standards Manual and Partner Co-branding Guide, Section 4 entitled Grants, Cooperative Agreements & Assistance <https://www.usaid.gov/branding/gsm>).

Identify activity name in English and host-country language(s).

2) Desired level of visibility: Select high, medium or low visibility determined by considerations for each activity and its communication strategy.

3) Positioning

This section discusses how to publicize the program, visibility considerations, and includes a description of the communications tools to be used.

The Recipient may use co-branding and co-marking in accordance with ADS 320.3.3.1 for visual, textual and verbal materials and communications, which may be translated into host-country languages as appropriate. Presumptive exceptions will be outlined in the Marking Plan and if/when a situation arises that is not considered in the Marking Plan, it will be evaluated on a case-by-case basis by the Agreement Officer’s Representative (AOR) and Agreement Officer (AO).

- Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo. (Please note that all logos must be approved by Branding Champions in Washington).

4) Program Communications and Publicity

- Who are the primary and secondary audiences for this activity?
- What communications or activity materials will be used to explain or market the program to beneficiaries?
- What is the main activity message?
- Will the recipient announce and promote publicly this activity to host country citizens? If yes, what press and promotional events are planned?
- Please provide any additional ideas about how to increase awareness that the American people support this activity.

5) Key milestones and opportunities

The following key milestones are anticipated to generate awareness that the program is from the American people. These milestones may be linked to specific points in time, such as at the beginning or end of a program, or to an opportunity to showcase reports or other materials (consult ADS ADS 320 and 2 CFR 700). These include, but are not limited to:

- training events,
- publishing reports,

- highlighting success stories,
- promoting final or interim reports, and
- communicating program impact/overall results
- speaking engagements, including in communities.

6) Acknowledgements

- Will there be any direct involvement from a host country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

GENERAL INSTRUCTIONS

USAID’s policy requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations) to follow marking requirements for assistance awards. Marking requirements, including requests for presumptive exceptions and waivers for assistance awards must be in accordance with 2 CFR 700.16(h).

With reference to ADS Sections 320.3.3.2 and 2 CFR 700.16, the Recipient shall prepare a Marking Plan containing information substantially similar to the sample provided below:

“USAID MARKING PLAN”
AWARD TITLE
AWARD NUMBER

Marking Plan for the [Name] Activity

With reference to ADS 320.3.3 and 2 CFR 700, below is the required Marking Plan:

1.0 MARKING

1.1 MARKING PLAN

Table 1 outlines the types of materials and activities that may be produced under the USAID [Name] Activity Any materials and activities that are not anticipated below, but are produced under the initiative, will also be subject to branding guidelines and AO approval, as appropriate. The goal is to mark activities, and not implementing partners.

All materials, activities and deliverables marked with the USAID logo for the [Name] Activity will follow design guidance for color, type, and layout in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016) as related to equipment, reports, studies, events, and public communication (including printed products, audio, visual, and electronic materials), etc. The USAID logo will be used for programmatic correspondence. Recipient’s letterhead will be used for administrative correspondence and will not have the USAID logo. Business cards will not show the USAID logo but may use text: USAID Recipient.

After award and prior to printing, please provide graphic examples of visual marking of materials, activities and deliverables using the USAID logo and activity name in situations of co-branding and no-branding, in both English and Spanish.

There are two criteria used to determine when the disclaimer provision must be used:

- a) As per 2 CFR 700.16(c) (1) Studies, reports, publications, Websites, and all informational and promotional products not authored, reviewed, or edited by USAID; and
- b) As per the discretion of the AOR and Recipient’s consideration of a specific situation.

However, AOR should review and approve all public communication materials where USAID logo is used.

The provision is as follows in English and Spanish:

*This **study/report/Website/video (specify)** is made possible by the generous support of the American People through the United States Agency for International Development (USAID). The contents of this **(specify)** are the sole responsibility of **(name of organization)** and do not necessarily reflect the views of USAID or the United States Government.*

*Este **estudio/reporte/sitio web/video** fue posible gracias al apoyo generoso del pueblo de los Estados Unidos, a través de la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID). El contenido de este **estudio/reporte/sitio web/video** es responsabilidad de **(nombre de la organización)** y no necesariamente refleja el punto de vista de USAID o del gobierno de los Estados Unidos.*

Sub-recipient: As specified in the standard provisions, the marking requirements will “flow down” to sub-recipients or sub-awards, and will include the USAID-approved marking provision in all USAID funded sub-awards, as follows: “As a condition of receipt of this sub-award, marking with USAID identity of a size and prominence equivalent to or greater than the recipient’s, sub-recipient’s, other donor’s or third party’s is required.”

TABLE 1. MARKING PLAN FOR MATERIALS AND ACTIVITIES (illustrative examples only)

Follow the guidelines contained in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016).

Category/Material	Type of Marking	Visual, Verbal, Textual Disclaimer
Administrative		
Activity related stationery products	The USAID logo will be used.	Visual Textual
Contract Deliverables: documents, publications, studies, reports, papers, technical assistance consultant reports	Follow guidelines for exclusive marking. Use specific language for deliverables when submitted to USAID for review.	Visual Textual
Program Communication		
Technical reports, publications, documents, studies	The USAID logo will appear on the cover; design follows guidelines for exclusive branding unless co-branding is acceptable or an exemption is provided for no	Visual Textual —

	branding.	Consider Disclaimer
Training materials, manuals and sessions	The USAID logo will appear on the cover of documents and verbal branding will be used at training sessions; design follows guidelines for exclusive branding unless co-branding or an exception for no marking is indicated.	Visual, Textual, Verbal — Consider Disclaimer for Visual & Textual
Audiovisual: Video, CDs-ROM, Animated Infographics	The USAID logo will be printed on CD labels, splash screen/menus, and packaging; design follows guidelines for exclusive branding unless co-branding or an exemption is indicated for no marking.	Visual
PowerPoint presentations	The USAID logo is required as per USAID presentation template; design follows guidelines for the exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated. Templates available at www.usaid.gov/branding/resources	Visual
Posters, banners, exhibition booth signs, event signage	The USAID logo will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual
Program public awareness, advocacy and behavior change materials and activities	The USAID logo will appear on each material based on the purpose and type of material, target audience and how to be used. Design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual, Textual or Verbal
Web portal and social media platforms (Facebook, Twitter, Flickr, blogs, others)	Follow guidelines in ADS 558 for appropriate branding and marking.	Visual Textual

Institutional Communication		
Photographs, Infographics	The USAID logo or “USAID” in text will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual Textual — Consider Disclaimer on Infographics
Collateral, print information material (i.e., success stories, fact sheets, articles, feature stories, others)	The USAID logo will appear on printed materials; design follows guidelines for exclusive branding.	Visual Textual
Equipment purchased for their own use	The USAID logo will appear on items; exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated.	Visual

Websites. Websites that are produced under USAID-financed assistance instruments must follow the guidelines of ADS 557.3.4.02. Websites that are produced under USAID-financed assistance instruments and fall outside the scope of 557.3.4 must comply only with USAID branding guidelines for assistance instruments (Branding Guidelines). As provided in this chapter, LPA/PIPOS must be notified of the URL as far in advance of the site's launch as possible. Websites that are produced under USAID-financed assistance instruments and fall outside the scope of 557.3.4 must not reside on a .gov domain. The site must be marked appropriately on the index page of the site and every major entry point to the Web site with a disclaimer that states: "The information provided on this Web site is not official U.S. Government information and does not represent the views or positions of the U.S. Agency for International Development or the U.S. Government."

1.2 Exceptions to Contract Marking Requirements

If applicable, use one or several of the following exceptions to fill out Table 2, depending on the circumstances. In addition to the table below, details about why the exception required must be attached to this marking plan.

2 CFR 700.16 (h) Presumptive Exceptions

- a. Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. This includes, but is not limited to, the following: Election monitoring or ballots, and voter information literature; Political party support or public policy advocacy or reform; Independent media, such as television and radio broadcasts, and newspaper articles and editorials; and PSAs or public opinion polls and surveys.
- b. Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent.

- c. Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, PSAs, or other communications better positioned as “by” or “from” a cooperating country ministry, organization, or government official.
- d. Impair the functionality of an item, such as sterilized equipment or spare parts.
- e. Incur substantial costs or be impractical, such as items too small or other otherwise unsuited for individual marking, such as food in bulk.
- f. Offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities.
- g. Conflict with international law, such as the international recognized neutrality of the International Red Cross (IRC) or other organizations.
- h. Deter achievement of program goals, such as cooperating with other donors or ensuring repayment of loans.

Category/Material for exception	Specific Exception(s)	Visual, Verbal, Textual
Administrative		
Program Communication		
Institutional Communication		
Commodities and Equipment		

1.3 SUB AWARDS

Sub awards when authorized in accordance with ADS 303, must be branded and marked following the guidelines of the Branding Strategy and Marking Plan approved for the prime award . The Recipient is responsible for including branding and marking requirements for these subawards.

1.4 PREPRODUCTION REVIEW

USAID requests preproduction review of USAID-funded public communications and program material for compliance with USAID graphic standards and the approved Marking Plan.

1.5 GRAPHIC EXAMPLES

Provide graphic examples of visual marking for the materials included under Table 1 using the USAID logo, co-branding, and project name in both English and Spanish.

Also provide graphic examples for the materials with exceptions to marking requirements (if applicable).

Incorrect example for project name



Correct example for project name

