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Funding Opportunity Title:	Leveraging Local Capacity to Strengthen Health Service Delivery Project
Announcement Type	Annual Program Statement (APS)
Funding Opportunity Number	72061219APS00001
APS Issuance Date:	August 14, 2019
APS Closing Date:	August 13 , 2020
Deadline for Submission of Round 1 (One) Questions:	September 09, 2019
Deadline for Submission of Round 1 (One) Concept Papers	September 30 , 2019
Applicant Eligibility:	Local Organizations / Firms and Non-Governmental Organizations (NGOs)
Catalog of Federal Domestic Assistance (CFDA) Number:	98.001 - USAID Foreign Assistance for Programs Overseas.

Dear Prospective Applicants:

The purpose of this Annual Program Statement (APS) is to disseminate information to prospective Applicants so that they may develop and submit concept notes and if selected submit full applications for USAID funding.

This APS:

- (a) Describes the types of activities for which applications will be considered;
- (b) Describes the funding available, the process and requirements for submitting concept papers and full applications;
- (c) Explains the criteria for evaluating applications; and
- (d) Refers prospective Applicants to relevant documentation available on the internet.

USAID/Malawi anticipates awarding multiple grants and/or cooperative agreements as a result of this APS. Eligibility for this APS is restricted to local (Malawian owned) organizations.

USAID/Malawi intends to make an award(s) to the Applicant(s) whose concept paper passes the concept paper review stage and whose application best meets the objectives of this funding opportunity based on the merit review criteria described in this APS and subject to a risk assessment. Eligible parties interested in submitting concept papers are encouraged to read this APS thoroughly to understand the type of activities being sought, submission requirements and the selection process.

Pursuant to 2 CFR 200.400(g) and 2 CFR 700.13, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the activity and are in accordance with applicable cost principles, may be paid under the award.

To be eligible for award, the Applicant must provide all information as required in this APS and meet eligibility standards in Section C of this APS. 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 APS has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process.

USAID/Malawi will 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 this APS. The registration process may take weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section D of this APS. 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 at www.grants.gov.

□ **Pre-Application Conference:**

USAID/Malawi will hold Pre-Application Conferences as follows:

Date: August 28, 2019
Venue: Sunbird Mzuzu Hotel, Mzuzu
Time: 9.00 am – 3.00 pm
Representation: 2 Representatives per organization (strictly not more than 2)

Date: August 30, 2019
Venue: Sunbird Capital Hotel, Lilongwe
Time: 9.00 am – 3.00 pm
Representation: 2 Representatives per organization (strictly not more than 2)

Date: September 04, 2019
Venue: Sunbird Mount Soche Hotel, Blantyre
Time: 9.00 am – 3.00 pm
Representation: 2 Representatives per organization (strictly not more than 2)

The Conference will have four sessions, one for each program area outlined and a fifth session to discuss “How to do business with USAID”. Interested Applicants must register in advance and

indicate which session they will attend by sending an e-mail to gsuya@usaid.gov copying lichimangeni@usaid.gov and jsosola@usaid.gov.

□ **Purpose of the Pre-Application Conferences:**

The pre-application conferences will be conducted to explain the APS requirements to potential Applicants. The conferences are being conducted immediately after issuance of the APS to allow potential Applicants to become familiar with the APS and allow sufficient time before submission of concept papers so that Applicants can make informed consideration in preparing their applications using information disseminated at the conference.

If an organization is interested in submitting a concept paper under this APS, it must note that even though attendance is not mandatory, it is strongly encouraged.

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 concept papers or a full application. Applications are submitted at the risk of the Applicant. All preparation and submission costs are at the Applicant's expense including conference attendance.

Thank you for your interest in USAID programs.

Sincerely,



Paul Martin
Agreement Officer
USAID/Malawi

SECTION A: PROGRAM DESCRIPTION

AUTHORIZING LEGISLATION:

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting awards 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 of this APS.

PROGRAM DESCRIPTION:

1. INTRODUCTION

This Annual Program Statement (APS) announces opportunities for local organizations or institutions in Malawi to work with the U.S. Agency for International Development (USAID) in Malawi to advance USAID’s strategic priorities and objectives, and achieve sustainable development outcomes, results, and impact. Specifically, this APS is designed to describe and provide a process through which local organizations can work with USAID/Malawi to strengthen the delivery of health services through creative, innovative, and effective interventions to address key priority challenges in health, including Human Resources for Health (HRH); HIV, malaria; and Innovative methods to enhance health service delivery and improve health behaviors.

This APS has the flexibility to award Cooperative Agreements, Grants, and Fixed Amount Awards, in accordance with automated directive system (ADS) 303.3.5.4 APS. Note: This solicitation is an APS. It is not a Request for Applications (RFA) or a Request for Proposals (RFP). The APS, however, requests concept papers from local organizations/institutions in Malawi in accordance with the guidance provided herein.

USAID anticipates that in order to increase meaningful engagement of local institutions in USAID assistance efforts, any potential award will be led by a local institution. All concept papers and subsequent full applications, if requested, will be expected to feature a local institution within Malawi as the lead implementer.

Additionally, the local institutions must carefully demonstrate their ability to partner effectively with other institutional partners, which may be non-governmental organizations, private sector, international organizations, Malawi government parastatals, and international higher education institutions. Based on the concept papers, USAID will determine whether to request a full application from the applicant(s) or invite for a co-creation process. USAID reserves the right to not make awards in any of the program areas provided below.

Applicants can contribute to strengthening quality health services delivery in Malawi by addressing any of four priority areas of strengthening systems for health for anticipated support

detailed below: HRH; HIV, malaria; and Innovative methods to enhance health service delivery and improve health behaviors.

2. OVERVIEW OF THE HEALTH SECTOR IN MALAWI

Malawi's Health Sector Strategic Plan (HSSP) II, 2017-22 and the subsequent Malawi National Community Health Strategy, 2017-22, lay out ambitious plans for quality, equitable, and affordable health care with the aim of improving health status, financial risk protection, and client satisfaction. The HSSP II aims to improve health outcomes through the provision of a revised essential health package and health systems strengthening for the efficient provision of this health package. The National Community Health Strategy takes the Strategic Plan a step further by defining a new community health system for Malawi with a package of basic preventive, promotive, curative, rehabilitative, and surveillance health services delivered at the community level with the participation and ownership of rural and urban communities. Key features of the plan include a team-based structure for community health workers, including strengthened supervision and reinforced involvement and coordination from district and community structures in the context of a decentralized health system.

One of the most significant challenges to increasing the accessibility and quality of health care in Malawi remains a severe shortage of health professionals to deliver health care. Malawi is tied with Niger for 190th among 193 countries on physicians per capita and 174th of 189 on nurses and midwives. Insufficient numbers of adequately trained health care workers across all professional cadres, inadequate incentives for staff, lack of professional development and supportive supervision, and training institutions of varying quality all work as a detriment to an effective health system and quality of care.

In spite of the significant human resources shortages, data from the most recent Demographic and Health Survey (2015-16) and national program data show that Malawi has made great strides in reducing child mortality, reducing maternal mortality, increasing modern contraceptive prevalence, as well as achieving improvements in nutrition. Specifically, since 2006, all cause child mortality has decreased by 48 percent. A significant portion of the reduction is estimated to be due to malaria interventions yet forty percent of child hospitalizations are for malaria.

Malawi's improvements in most health indicators over the past two decades have been achieved by focusing on the improved delivery of essential health care. However, gaps remain in prompt care seeking for fever in children; use of long-lasting insecticide-treated nets (LLINs), artemisinin-based combination therapy (ACTs), and rapid diagnostic tests (RDTs); facility and community referrals of severe malaria cases; and complete coverage of intermittent preventive treatment for pregnant women (IPTp). According to the 2017 Malawi Malaria Indicator Survey (MIS) findings, IPTp coverage of three or more doses was estimated around 41 percent, care-

seeking of fever for under 5 children 54 percent (31 percent within 24 hours of the onset of fever), while LLIN ownership and use have not reached universal coverage.

The maternal mortality ratio in Malawi remains alarmingly high at 439 deaths for every 100,000 live births, despite having 91 percent of pregnant women deliver in health facilities. Twenty-six percent of girls aged 15-19 have begun childbearing, where there are increased risks of death and disability to both mother and child during pregnancy and childbirth. Adolescent pregnancies comprise about 20 percent of maternal deaths in Malawi. In addition, lack of access to quality care in the public and private sectors during antenatal care (ANC), delivery, and postnatal care contribute to these poor health outcomes. Obtaining permission to seek medical attention remains a key barrier to obtaining prompt care for some women.

The number of new HIV infections in Malawi decreased from 89,000 in 2004 to approximately 41,000 in 2018.¹ Since 2010, AIDS-related deaths have decreased by 39%. However, AIDS remains a major cause of death for adults and children under five in Malawi, contributing to a low life expectancy of 63 years.² There are an estimated 15,000 HIV-related deaths annually, and an estimated 1.1 million Malawians are living with HIV.

Malawi has made remarkable progress in getting people living with HIV in treatment with current treatment coverage over 70 percent, but significant effort remains to achieve the 95-95-95 goals, particularly among some population groups including children, youth and men. Malawi data shows that an adolescent girl is eight times as likely as her male peers to acquire HIV (MPHIA). HIV risk among adolescent girls and young women is exacerbated by high rates of early marriage, early sexual debut, and sexual abuse. Emerging priorities for the HIV response include improving the efficiency of HIV case finding, improving retention in treatment, and engagement of communities of faith in epidemic control and prevention of gender-based violence and other child protection interventions.

Most of the priority health interventions described above are dependent on labor-intensive efforts of front-line health workers. The question remains as to whether Malawi can continue to see health gains without efforts to improve the quantity, quality, and distribution of trained health and social welfare workers. Emerging priorities also include evidence-based interventions at the community level to improve demand for critical health services as well as address drivers of health risk including child abuse, early marriage, gender-based violence, and lack of opportunities for youth. Lastly, there is space for innovative approaches to enhance health care delivery and improve health behaviors.

¹ UNAIDS SPECTRUM estimates for 2019

² World Bank

Statement of APS Goal, Purpose, and Desired outcomes

Goal: The goal of this APS is to contribute to the Agency’s strategic priorities of 1) Preventing child and maternal deaths; 2) Combating infectious diseases and 3) achieving HIV epidemic control in Malawi while advancing Malawi’s journey to self-reliance through local partner engagement in implementation of health and social welfare programming.

Purpose

This APS is designed specifically to provide opportunities for local organizations in Malawi to work with USAID in Malawi to strengthen health care delivery through creative, innovative, and effective interventions. All offerors must be local organizations to be eligible for an award through this APS and will be encouraged to carefully demonstrate their ability to partner effectively with other institutional partners.

Desired Outcomes

- (1) Increased number of skilled health workers and para-professionals graduating from training institutions, entering and being retained in the health and social welfare workforce;
- (2) Improved quality of pre-service education and increased access to educational opportunities for health workers;
- (3) Improved HIV, Malaria, Maternal, Neonatal, and Child Health (MNCH), Family Planning, and Nutrition and outcomes in high disease burden districts; and
- (4) Improved capacity of local organizations to implement effective health programs in Malawi.

3. PROGRAM AREAS

PROGRAM AREA #1: Human Resources for Health

A. Background

The continued shortage of well-trained, highly skilled, and equitably distributed health Workers remains one of the most significant barriers to ensuring universal health Coverage and improving the health status of Malawians. The Government of Malawi (GoM), through the MoHP, recognizes that a skilled and motivated health workforce is central to building a strong health system, and ensuring universal coverage of essential health care for all Malawians. Malawi’s Health Sector Strategic Plan II (HSSP II) (2017 2022) sets out eight objectives to work towards the achievement of universal health coverage (UHC) of which objective number four is to: Improve availability, retention, performance and motivation of human resources for health for effective, efficient and equitable health care delivery.

The Malawi Human Resources for Health Strategic Plan 2018-2022 is the country's Current guiding document on human resource investments and requirements. It aligns to HSSP II, and to national and international commitments to build the health workforce.

The goal of this plan is to contribute to a health system that will provide universal health coverage to all Malawians through the availability of an adequate number of health workers, well distributed throughout the country, who have the skills, attitudes, and experience necessary for the efficient and effective achievement of the MoHP's strategic vision, mission, goals and objectives.

The public sector and CHAM establishment combined has 62,269 staff positions, consisting of 39,494 (63%) medical, clinical, nursing/midwifery, allied health professionals, allied technical services staff, and education and environmental health staff positions and of these frontline health care delivery positions, only 52% are filled leaving a vacancy rate of 48%.

Across all districts and central hospitals there is an average of 14.86 clinical, nursing and allied health professionals per 10,000 population which translates to 1 health care worker per 3000 population or less than one (0.3) health care worker per 1000 population. In comparison, the World Health Organization (WHO) recommends a threshold of 4.5 health care workers per 1,000 populations in order for countries to reach Universal health coverage goals. This is a clear indication that Malawi is still in a deep HRH crisis and efforts must continue to increase and sustain the pipeline of health care workers. Vacancies of critical frontline cadres in Malawi are still very high at 29% for Medical Doctors, 34% for Nursing Officers, 67% for Clinical Officers, 64% for Nurse Midwife Technicians, 80% for Pharmacy Technicians, 82% for Pharmacy Assistants and 57% for Lab Technicians.

The activities outlined under this program area must address gaps in health care worker production, quality of training, and recruitment and performance management of health workers.

B. Objectives

Objective 1: Increased availability of trained and qualified health workers working on priority health areas. A key priority for USAID/Malawi is to address the critical shortage of health and social welfare workers, especially, Nurse/Midwifery Officers, Nurse Midwife Technicians (NMT), Pharmacy Assistants, Community Health Nurses, Community Midwifery Assistants (CMAs), Health Surveillance Assistants (HSAs), Assistant Environmental Health Officers (AEHO), Entomologists (focused on malaria), and professional and paraprofessional social workers. To achieve this, USAID intends to fund activities that will increase the i) Production of highly skilled health and social welfare workers through pre-service training support (e.g.,

scholarships); ii) Augment numbers of prioritized health workers in priority health facilities through salary support; iii) Monitor and track scholarship beneficiary data and ensure deployment into the health sector after graduation to serve required MoHP bonding period; iv) build capacity of the Ministry of Health and District authorities to develop a policy environment that supports appropriate HRH workforce tracking, planning/prioritization/rationing, deployment, and retention to ensure continued availability of healthcare workers at health care delivery points.

Objective 2: Improved quality of health and social welfare education through provision of innovative alternative learning methods, provision of technical support for faculty for both pre service education and in-service training;

Objective 3: Strengthened health professional regulatory bodies to improve health care worker regulation, tracking and data availability;

C. Expected Outcomes:

- Increased number of skilled health professionals graduating from training institutions and entering the health system;
- Improved quality of pre service education and increased access to educational opportunities for health workers;
- Strengthened regulation of and availability of data for health workers through professional bodies;
- Improved program performance and results in priority sites benefiting from additional health worker deployment;
- Equitable deployment and distribution of healthcare workers at health care delivery level;
- Improved quality of the social welfare workforce including frontline social workers such as Child Protection workers, and other paraprofessional social workers such as child community case care workers.

Key illustrative activities include:

- Provide scholarships annually for a minimum of 50 Nursing officers, 100 Nurse midwife technicians, 100 Pharmacy Assistants, 100 community midwives, 3 Entomologists (focused on malaria) and 50 social workers to ensure increased production of skilled health workers;
- Strengthen training programs and provide scholarships for professional and paraprofessional social workers;
- Support Malawi College of Health Sciences and selected Nursing training colleges with technical assistance and training resources and/or equipment to improve the quality of teaching;

- Develop and maintain evidence-based, and fully accredited e-learning programs for both pre- and in-service training;
- Recruit, provide and manage payroll for salaries for prioritized cadres in PEPFAR and maternal and child health priority districts;
- Develop a database for tracking scholarship beneficiaries and completion of training, graduations, deployment into the health sector and completion of bonding period served;
- Provide technical assistance to MOHP and District level authorities to improve HRH data tracking, distribution and deployment at health care delivery level.

PROGRAM AREA #2: HIV

A. Background

The Malawi Population-based HIV Impact Assessment (MPHIA) estimated that 1 in 10 persons between 15-64 years old is living with HIV in Malawi. Approximately 330,000 people living with HIV remain virally unsuppressed either because they don't know their HIV status, are not on HIV treatment, or are failing on treatment. Through PEPFAR, USAID implements a broad range of HIV prevention, treatment, and impact mitigation interventions. This APS identifies emerging priorities and gaps in HIV epidemic control for which local partnerships are sought.

B. Objectives

USAID/Malawi is working to expand direct partnerships with local organizations to implement evidence-based, innovative programming through PEPFAR. USAID seeks to identify local organizations to effectively strengthen both delivery of services and support demand creation for critical HIV prevention and treatment services, with a particular focus on critical population groups including youth and vulnerable populations. Successful applicants proposing activities and care services related to HIV prevention and treatment services will be required to document their activities using standard PEPFAR indicators relevant to their activities. USAID/Malawi will assist successful applicants in selecting the appropriate indicators based on the care services and activities proposed.

C. Expected Outcomes related to HIV

Outcome: 1 HIV prevention and treatment services for key populations strengthened and expanded

WHO and PEPFAR provide detailed guidance on how to offer effective and appropriate HIV related services for key populations including evidence based services to enhance prevention, HIV case finding, enrollment and retention in treatment, and response to gender based violence.

Key priorities include expanding access to and adherence in treatment, pre-exposure prophylaxis (PrEP) services and communications, as well as strengthening the capacity of KP-led and KP-competent organizations to provide community-focused services and to address specific structural barriers that inhibit uptake of services. Applicants should design their program making sure that their proposed activities are consistent with WHO, PEPFAR, and National HIV prevention and treatment strategies and guidance.

Illustrative activities for key populations may include but are not limited to:

- Programs to effectively engage members of key populations, such as sex workers, men who have sex with men, transgender individuals, persons involved in transactional sex, as well as their sexual partners and family members. These approaches must include peer-led service delivery models;
- Innovative and sustainable service delivery strategies to improve uptake and retention in HIV treatment and viral load suppression;
- Improve health workers' skills to provide friendly and respectful care for persons presenting with symptoms of STIs, including respectful care to marginalized groups such as MSM, sex workers and persons engaged in transactional sex.

Outcome 2: Improved HIV and reproductive health outcomes for adolescent girls and young women (AGYW) and adolescent boys and young men (ABYM) Illustrative activities may include:

- Improve the ability of local health facilities to provide “youth-friendly” health care, which includes targeted HIV testing, STI screening, and family planning, male and female condom provision;
- Youth-centered programming which employs evidence-based methods to address HIV risk through effective service delivery and structural interventions to prevent HIV transmission, including but not limited to social assets strengthening, prevention of and response to gender-based violence, retention in education for vulnerable children, etc.

Outcome 3: Engagement of communities of faith to improve understanding of the HIV epidemic and to reach men and children at HIV risk with effective, targeted Testing and HIV treatment services

Illustrative activities may include but are not limited to:

- Improve ability of faith communities to conduct HIV screening and testing among higher risk groups, including:
 - voluntary partner notification (index testing) to offer HIV testing to partners and family members of persons who test HIV+

- self-testing strategies focused on reaching men
- Improved ability of faith communities to support retention in treatment, particularly for men and children, who generally have lower viral suppression rates

Outcome 4: Change in social norms and behaviors and increase in health-seeking behaviors to reduce risk of HIV infection and prevent sexual violence against children

Illustrative activities may include but are not limited to:

- Engagement of faith and traditional leaders in prevention of sexual violence among 9-14 year olds;
- Strengthen systems of reporting and accountability for sexual violence against children;
- Community level activities to affect social norms and sexual practices, including:
 - Improve social norms regarding early sexual activity, early pregnancy, and early marriage;
 - Social and community norms regarding VMMC, with the aim to increase the demand for VMMC among young men;
 - Increase retention in school for vulnerable girls;
 - Skills building to improve employability in young girls and boys.

Outcome 5: Improved capacity of local organizations to effectively manage PEPFAR programs with high technical and financial management

Illustrative activities:

- Provision of technical assistance to organizations implementing PEPFAR programs through USAID/Malawi;
- Financial monitoring to improve financial management, reporting, and internal controls;
- Strengthening human resources and performance management systems of local organizations.

PROGRAM AREA #3: Malaria

A. Background

In Malawi, there are an estimated 4 million cases of malaria occurring every year. The most recent Malaria Indicator Survey showed a decline in malaria prevalence from 33 percent in 2014 to 24 percent in 2017, yet there is still a lot of work to be done to further reduce the burden of malaria and bring Malawi closer to elimination. The National Malaria Strategic Plan 2017–2022

includes goals to scale up malaria interventions to reduce morbidity and mortality by 50% in 2022.

The U.S. President's Malaria Initiative (PMI) supports the Government of Malawi's (GoM) goal to reduce malaria morbidity and mortality through procurement of malaria commodities and supply chain strengthening activities, vector control activities, training and supportive supervision of laboratorians and health workers, behavior change interventions, surveillance and monitoring and evaluation support, and operational research.

Malawi, an early adopter (2007) of integrated community case management (iCCM) focuses on diagnosis and treatment of malaria for children under-five years of age at the community level. However, studies have shown that the prevalence of malaria is higher in school-aged children (42%) than in pre-school aged children (27%). This epidemiological shift in the burden of malaria might have resulted due to increased implementation of intervention and appropriate case management for under-five children which leaves out older children and adults.

Over the past six years, PMI-supported entomological monitoring has documented increasing vector insecticide resistance, including the rise and spread of pyrethroid and carbamate resistance in *Anopheles funestus*, which is the primary malaria vector across most of the country. Additionally, increasing sulfadoxine-pyrimethamine (SP) resistance represents a significant threat to Intermittent preventive treatment for pregnant women (IPTp) in Malawi and there is concern that the prevalence of resistance markers will increase over time.

In 2019 with Global Fund support, the NMCP is conducting therapeutic efficacy monitoring for Artemether-lumefantrine (AL) and artesunate-amodiaquine (ASAQ). USAID/Malawi will provide direct technical support for this activity and discussions will be undertaken with NMCP and the therapeutic efficacy study Principle Investigator regarding the inclusion of artemisinin resistance testing.

To ascertain more detailed information on insecticide resistance throughout Malawi, the NMCP has initiated mapping of insecticide resistance with funding from the Global Fund. The NMCP plans to conduct this surveillance annually in several districts, rotating the districts sampled from year to year. The large investments in case management, insecticide-treated nets (ITNs), and indoor residual spraying (IRS) made by the Global Fund, PMI, and other donors, and the global dependence on the limited number and classes of insecticides, make it imperative that national programs monitor and evaluate entomological and coverage parameters and efficacy of available malaria drugs.

B. Objectives

To develop the entomological capacity of local organizations to monitor, adapt, and respond to changes in malaria vector populations, as well as to ensure investments in ITNs and IRS are efficacious and effectively targeted. In particular, resistance monitoring is critical to guide deployment of new types of nets (e.g., PBOs and dual active ingredient nets) and rotation of insecticide for IRS. Similarly, another key priority is to achieve and maintain universal coverage with long-lasting ITNs, defined as one ITN for every two people, and to ensure that ITNs are used appropriately and regularly. For a robust malaria prevention and control program, diagnostic testing and prompt treatment for malaria must be strengthened to ensure that all patients with malaria are properly identified and receive a quality-assured ACT in health facilities and at the community level.

In order to promote early recognition, prompt diagnostic testing, and appropriate treatment of malaria in the home or community for patients of all ages, Malawi will implement a pilot study to evaluate the effectiveness of extending community case management of malaria to all age groups. The pilot will aim to: (1) Increase access to prompt, appropriate malaria diagnosis and treatment; and (2) demonstrate its feasibility and cost-effectiveness in high malaria burden settings.

Illustrative activities in this category include, but are not limited to:

- Entomological monitoring services for vector control activities in the country;
- Malaria therapeutic efficacy studies, and ITN and malaria control coverage studies;
- Provision of technical assistance to the NMCP and Malaria implementing partners to ensure vector control activities are performed to the highest level of quality as guided by the WHO and PMI;
- Implementation of a pilot study to evaluate the effectiveness of extending community case management of malaria to all age groups.

C. Expected Outcomes:

- Increased understanding and monitoring of composition of the vector population, mosquito behavior, and insecticide resistance status for effective malaria control interventions;
- Improved implementation of malaria vector control interventions;
- Improved use and monitoring of effectiveness of, and resistance to, antimalarial medication;
- Increased access to prompt, appropriate malaria diagnosis and treatment.

PROGRAM AREA #4: Innovative methods to Improve Social Behavior Change (Non-PEPFAR)

A. Background

A number of deep-rooted beliefs and practices at the heart of Malawian culture and society, especially those involving gender and youth, powerfully restrict the adoption of health seeking behaviors, including the use of priority health care services. Improving the availability of integrated, quality services will have limited impact unless Malawians demand and use these health care services. Malawian society is generally conservative and can foster patterns of health-seeking behaviors that delay or limit beneficial contact with health professionals. The low status of women, especially young women, greatly impacts their health status and use of health care services.

For women and girls, the lack of empowerment and harmful cultural practices (e.g., early marriage and early first pregnancy); limited education; harmful taboo and stigma and acceptance of GBV adversely affect their health status and that of their families. These factors place women at higher risk of communicable diseases and unintended pregnancies. The ability of caregivers, primarily women, to make prompt decisions about care seeking for their children is often hampered by the woman's educational level and need for spousal or village elders' consent.

For men, public health initiatives have often sidelined their needs for participation and empowerment, albeit in different ways than for women. Gender norms often mean that men act as gatekeepers around the use of health care services, although they often lack knowledge about or access to health care, be it Family Planning/Reproductive Health, child health, or infectious diseases, including HIV. Traditional male gender norms encourage men to equate a range of behaviors, such as violence, substance abuse, and multiple partners, with being masculine.

B. Objectives

We seek the development and implementation of robust social and behavior change (SBC) interventions targeting key audiences to positively influence timely health-seeking behaviors at the individual, household and community levels, and address negative socio-cultural practices and gender dynamics (including GBV).

C. Expected Outcomes:

- Communities hold local government and health facilities accountable for quality health care delivery;

- Increased awareness and adoption of positive health and social behaviors to reduce maternal and infant mortality, harmful cultural practices, gender-based violence, HIV/AIDS, and unintended pregnancy (particularly among youth);
- Youth motivated to act on their own behalf, capitalizing on the demographic dividend, seeking increased access to private and confidential health care services;
- Increased care-seeking for fever in children under five years of age from the baseline of 54 percent (MIS 2017) to reach universal coverage;
- Increased timely care-seeking (within 24 hours of the onset of fever) of fever for children under five from the baseline of 31 percent (MIS 2017) to reach universal coverage;
- Increased percentage of the household population sleeping under ITNs from 55 percent (MIS 2017);
- Decreased percentage of the population using LLINs as fishing nets (28 percent Southern Region MIS 2017).

Illustrative activities:

- A comprehensive suite of well-coordinated, evidence-informed or innovative, theory-based SBC activities, behavioral economics, human centered designs and any other international best practice interventions that will increase demand for quality priority health care services maternal and child health, family planning and reproductive health; malaria prevention and control, etc. Activities should also be designed to transfer technical skills and organizational capacities to relevant stakeholder institutions/ organizations, so that these organizations gain improved management capacities; build the capacity of district governments, other development partners and sectors, communities, the private sector, and CSOs to execute interventions in the priority technical areas.

[END OF SECTION A]

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Pursuant to the Foreign Assistance Act (FAA) of 1961, as amended, USAID/Malawi anticipates providing funding to qualified registered local (Malawian) organizations that have experience in implementing and executing health and livelihood improvement programs or activities.

USAID/Malawi intends to award Cooperative Agreement(s) or Grant(s) pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID anticipates multiple awards, minimum award \$150,000 and maximum award \$2 million per year over 5 years as stipulated below.

Program Element	Category	Estimated Amount	
Program Element 1	Human Resources for Health	Salary Support for Human Resources for Health	\$7.5 Million
		CMA,RN,NMT, FM	\$6 Million
		Pharmacy Assistants - Training	\$1 Million
		Social worker degree and non-degree programs – Training	\$1 Million
Program Element 2	HIV	\$5 Million	
Program Element 3	Malaria	\$2.1 Million	
Program Element 4	Innovative methods to Improve Social Behavior Change	\$2 Million	
Total Anticipated Funding		\$24,600,000.00	

2. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is at a minimum going to be 3 (three) years and a maximum of 5 (five) years depending on funding category and available funding.

3. Determining Degree of USAID Involvement during Activity Implementation

USAID/Malawi will decide whether to award a grant or a cooperative agreement based on level of funding and type of envisioned relationship with the implementing partner during activity implementation.

The following instruments may be used:

- (a) **Cooperative Agreement:** If a cooperative agreement is awarded, the period of performance for activities shall not exceed 5 years. In accordance with ADS 303.3.11 and 2 CFR 200.308, USAID/Malawi will be substantially involved in the administration of the cooperative agreement to help the Recipient achieve the agreement objectives. Unless modified by the

Agreement Officer, substantial involvement during the implementation of this Agreement shall be limited to the following:

- (i) Approval of the Recipient's Implementation Plans.
- (ii) Agency and recipient collaboration or joint participation. The recipient must collaborate with USAID/Malawi in conducting progress review meetings with key stakeholders.
- (iii) Sub-award approval: 2 CFR 200.308 requires the Recipient to obtain the Agreement Officer's prior approval for the sub-award, transfer, or contracting out of any work under an award.
- (iv) Approval of the recipient's monitoring and evaluation plans.
- (v) Monitor project implementation and where necessary authorize specified kinds of direction or redirection because of interrelationships with other projects as described in the Program Description.
- (vi) Agency Authority to Immediately Halt a Construction Activity. The Agreement Officer may immediately halt a construction activity if identified specifications are not met.
- (vii) Approval of Specified Key Personnel.

(b) Grant or Fixed Amount Award: There is no substantial involvement when a grant or fixed amount award (FAA) is made. The period of performance for activities funded using a grant shall not exceed 3 (three) years.

4. Authorized Geographic Code

The geographic code for procurement of commodities and services under this program is 935 - Any area or country including the cooperating country, but excluding the foreign policy restricted countries.

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 Leveraging Local Capacity to Strengthen Health Service Delivery project which is authorized by Federal statute.

Successful Recipients will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of awards received through the application of sound management practices. Recipients will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, activity objectives, and the terms and conditions of the Federal award.

[END OF SECTION B]

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligibility for this APS is restricted to prime local organizations. Only local organizations as defined below are eligible for award. USAID defines a “local entity” as an individual, a corporation, a nonprofit organization, or another body of persons that:

(a) Is incorporated or legally organized under the laws of, and have its principal place of business in, the country served by the PEPFAR program with which the entity is or may become involved **(in this case Malawi)**;

(b) It was at 75% for FY 2018 beneficially owned by individuals who are citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), or by other corporations, partnerships or other arrangements that are local partners under this paragraph;

(c) At least 75% for FY 2018 of the entity's staff (senior, mid-level, support) must be citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), and at least 75% for FY 2018 of the entity's senior staff (i.e., managerial and professional personnel) must be citizens or lawfully admitted permanent residents of such country; and

(d) Has a Board of Directors and that at least 51% of the members of the Board must also be citizens or lawfully admitted permanent residents of the country.

These eligibility requirements apply to both the prime Applicant and to any sub-awardee that is engaged during activity implementation. Applications from organizations that have not previously received financial assistance from USAID are most welcome.

REQUIREMENT:

Applicants MUST provide as part of concept paper package; information and supporting documents that prove the organization satisfies the qualifications of a local organization in view of the applicable USAID definition for local organization provided above.

2. Cost Sharing or Matching

(a) For Cooperative Agreements:

USAID/Malawi does not require cost share under this APS; however, Applicants are at liberty to propose a cost share level an organization is committed to bring into the activity if it wishes so. Cost share refers to the resources a USAID Implementing Partner (Recipient) contributes to the total cost of an agreement or activity cost. Cost share includes all cash and in-kind contributions from the Implementing Partner or third parties. Once negotiated and made part of the approved agreement budget, cost share becomes a condition of an award. It must therefore be verifiable

from the Implementing Partners' records such that it can be audited. Cost share 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.

(b) For Grants and Fixed Amount Awards:

Pursuant to 2 CFR 200.201(b)(2) Cost share is not required and cannot be considered under Fixed Amount Awards.

[END OF SECTION C]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Points of Contact (POC)

Primary POC:

Name	Lazarus Chimangeni
Title	Acquisition and Assistance Specialist
E-mail	lchimangeni@usaid.gov

Secondary POC:

Name	Gideon Suya
Title	Senior Acquisition and Assistance Specialist
E-mail	gsuya@usaid.gov

2. Questions and Answers

Questions regarding this APS must be submitted in writing through e-mail to lchimangeni@usaid.gov and gsuya@usaid.gov with a copy to oa-malawi-solicit@usaid.gov no later than the date and time indicated on the cover letter, or as amended. **No telephone contacts will be accommodated.** 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

USAID will review applications using a two-stage process:

- (a) **Concept Papers – First Stage:** Applicants must first submit a concept paper before submitting a full application.

PREPARATION OF CONCEPT PAPERS: (First Stage)

In the first stage, Applicants are required to submit a short technical concept paper no longer than 10 pages that is specific, complete and concise (this does not include the cover page, appendix and budget summary). The concept paper should demonstrate the Applicant’s capabilities and expertise with respect to achieving the goals of Technical Component under application or chosen funding category. The instructions for developing the concept paper are listed in the next section. Concept papers will be reviewed in terms of responsiveness to the APS, appropriateness of subject matter, and creativity of the proposed technical approach.

(i) CONCEPT PAPER INSTRUCTIONS:

The concept paper must be submitted in English in Times New Roman, 12 point font, and must include page numbers. Each page must be marked with the APS title and number. Applicants must prepare the concept paper according to the structural format set forth below:

1 - Cover Page: (no more than one (1) page). The cover page must include:

- a) The APS number;
- b) The Technical Component of interest;
- c) Name and address of organization;
- d) Type of organization (e.g., for-profit, non-profit, university, etc.);
- e) Contact point (lead contact name; relevant telephone, fax, e-mail information);
- f) Names of other organizations (federal and non-federal) to whom you are submitting and/or have submitted the application and/or who are funding the proposed activity; and
- g) Signature of authorized Representative of the Applicant.

2 - Technical approach: (no more than 8 pages)

This section should address the activity summary and selected objectives in Section A of this APS and should address the merit review criteria (*Design and Execution of the Proposed Activity; Project Management and Institutional Capacity and Past Performance*) as explained in detail under Section B below:

3 - Budget Summary: (no more than 1 page)

- a) Proposed estimated cost;
- b) Brief cost breakdown by major category totals (e.g., salaries, fringe benefits, travel, equipment, activities, etc.).

(ii) MERIT REVIEW CRITERIA FOR CONCEPT PAPERS:

USAID/Malawi will establish a Technical Review Committee (TRC) to review all concept papers against the following criteria:

- **Design and Execution of the Proposed Activity:**
 - Clear set of activity goals and objectives;
 - Innovative and practical interventions with a measurable impact;
 - Linkages to existing resources and structures;
 - Ability to build on previous achievements in the technical component of choice;
 - Geographic coverage and number of people to be reached;
 - Demonstrated understanding of the technical component needs that will be addressed.

- **Project Management:**

- Technical and administrative capacity to manage and implement the proposed activity;
- Experience and capacity of staff to design, monitor and report on activities (CVs of key personnel can be provided as an appendix which will not count against the page limit).

- **Institutional Capacity and Past Performance:**

- Demonstrated experience and track record of the organization and key personnel in the proposed technical component (Three references can be provided as an appendix which will not count against the page limit);
- Demonstrate that the organization is appropriate in size and scope for proposed activities.

After all received concept papers have been reviewed, USAID/Malawi will contact selected Applicants and request them to submit a full application based on the strength and determined viability of the technical approach outlined in the concept paper. Organizations that submit unsuccessful concept papers will be notified that they are no longer being considered for the second stage.

An organization must not submit a full application unless requested by USAID/Malawi. Only upon receipt of positive USAID feedback on the concept paper will the Applicant be requested to submit a full application for USAID consideration.

(b) Full Application – Second Stage: If a proposed activity (submitted as a concept paper) meets the requirements of this APS, an Applicant will be invited to submit full applications.

PREPARATION AND SUBMISSION OF FULL APPLICATIONS: (Second Stage)

Each Applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only, while the Business (Cost) Application must present cost associated with implementation of the proposed activity and address risk and other related issues.

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

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization; mailing address, telephone number and email address) and the identification of the

alternate contact person (by name, title, organization, mailing address, telephone number and email address);

- Technical component;
- 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).

The full application must be submitted in English in Times New Roman, 12 point font, and must include page numbers. Each page must be marked with the APS title and number. Applicants must prepare the full application according to the structural format set forth below:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- The full application can be submitted via Microsoft Word or PDF formats (searchable and editable Word or PDF format as appropriate.), except budget files which must be submitted in Microsoft Excel.
- The cost application must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant's discretion, however, the official cost application submission is the unlocked Excel version.
- 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 excluded from the technical review process. Applicants should retain a copy of the application and all enclosures for their records.

FULL APPLICATION SUBMISSION PROCEDURES:

- (1) Full Applications must be submitted by email to lichimangeni@usaid.gov and gsuya@usaid.gov with a copy to oaa-malawi-solicit@usaid.gov no later than the date and time to be indicated on the cover letter of the USAID/Malawi Agreement Officer requesting submission of the Full Application.
- (2) 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".

- (3) 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 unless if this is not possible.
- (4) After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent.
- (5) 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.

TECHNICAL APPLICATION FORMAT:

The technical application must be specific, complete, and presented concisely. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this proposed activity. The application must take into account the requirements of the technical component and merit review criteria applicable full applications found in this NOFO.

The Technical application must strictly follow the format prescribed below.

Main Body:

The main body of the Technical Application must include the following sections:

- (1) Cover page;
- (2) Table of Contents;
- (3) Acronym List;
- (4) Executive Summary;
- (5) Technical Approach;
- (6) Management and Staffing Approach;
- (7) Organizational Capability and Past Performance.

(1) Description of Required Sections:

Detailed descriptions of each required section of the Technical Application follows. The body of the Technical Application must follow the page limits as indicated in each section. A maximum of 25 pages are allowed for the Technical Application Body, and a maximum of 40 pages for allowable annexes.

(2) Cover Page: – Up to 1 Page

This is a single page that includes: the program title, the Request for Applications number, name and DUNS number of prime Applicant organization, names of any proposed sub-awardee organizations, the organization's contact person, including his/her title, a telephone number, mailing address, and email address. Also state whether the contact person is the person with

authority to enter into contractual agreements for the organization, and if not, that person should also be listed. The cover page must be signed by these individuals.

(3) Table of Contents: – Up to 2 Pages

This section is limited to two pages, and must at a minimum include the page numbers for the main section of the Technical Application.

(4) Acronym List: – Up to 2 Pages

This section is limited to two pages, and must spell out any acronyms that are utilized in the Technical Application. A table format is acceptable.

(5) Executive Summary: – Up to 2 Pages

A two-page maximum brief description of the proposed activities, goals, purposes, and anticipated results, technical and managerial resources of the applicant, and how the overall activity will be managed. This should give the reader of the application a “snapshot” of what is contained in the application.

(6) Technical Approach: - Up to 11 Pages

The technical application must address the Program Description provided in Section 1 of this document. Applications must demonstrate the applicant’s capabilities and expertise with respect to achieving the strategic and program objectives of the program. Technical applications must be specific, complete and concise.

(7) Management and Staffing Approach: - Up to 5 Pages

The management approach must include a narrative that helps explain the staffing plan and organization chart(s) and describes the advantages of the management approach. The staffing plan and its annexes (i.e. resumes) should clearly show how the individuals, as well as the proposed staffing mix, are appropriate for achieving the activity’s objectives and supporting the implementation at all levels.

The Applicant must propose no more than 5 management positions that will be considered as key personnel, necessary and critical for implementation and leadership of the activity.

No:	Position Identity	Proposed Holder

In addition to the key personnel, the Applicants must propose other full or part-time staff and consultants' or intermittent staff necessary to fulfill the requirements of the program description.

The Applicant must include a summary staffing plan and summary organizational chart in an Annex, which together show the totality of positions proposed for all components of the implementation plan, inter-staff relationships and lines of communications.

(8) Organizational Capability and Past Performance: - Up to 2 Pages

Applicants must show expertise and experience in the technical component and area of choice.

(a) Organizational Capability: Applicants must demonstrate evidence of their organizational capacity and relevant technical and managerial resources and expertise to design and implement the described project. This section should include evidence of integration experience in similar technical component and evidence of experience in working with a broad range of stakeholders including but not limited to government entities, registered organizations, community-based organizations and informal groups and networks.

(b) Past Performance: The Applicant must identify five grants involving the most similar or related activities completed during the past five years. The Applicant must provide brief narratives articulating its past performance and complete Part I of the form below providing details for each of those grants to allow USAID/Malawi to make its independent contacts verifying the information:

PART I: Applicant Information (to be completed by Prime Applicant)		
1	Name of Awarding Entity:	
2	Award Number:	
3	Award Type:	
4	Award Value (TEC): (if subaward, subaward value)	
5	Problems: (if problems encountered on this award, explain corrective action taken)	
6	Name of Awarding Agreement Officer:	
7	Contacts: (Name, Telephone Number and E-mail address)	
8	Technical Officer:	
9	Awarding Entity:	
10	Information Provided in Response:	NFO-xxx
PART II: Performance Assessment (to be completed by the grantor upon request by USAID)		
11	Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:	
12	Cost control, including forecasting costs as well as accuracy in financial reporting.	

	Comment:
13	Timeliness of performance, including adherence to award schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
14	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subawardee and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
15	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:
Additional Comments if any:	

USAID reserves the right to obtain history of performance information from other sources including those not named in the applications.

Annexes:

The annexes to the Technical Application may include but not limited to: **Annex A** – Technical Approach Supporting Data, Graphs, Charts; **Annex B** – Draft Work Plan – year 1; **Annex C** – Monitoring, Evaluation and Learning Plan; **Annex D** – Organizational Chart; **Annex E** – Key Personnel CVs and Letters of Commitment; **Annex F** – Mobilization Plan relevant to this NOFO.

COST APPLICATION FORMAT:

The Cost 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 business (cost) 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: The cover page must include:

- 1) The APS number;
- 2) The Technical Component of interest;
- 3) Name and address of organization;
- 4) Type of organization (e.g., for-profit, non-profit, university, etc.);
- 5) Contact point (lead contact name; relevant telephone, fax, e-mail information);
- 6) Names of other organizations (federal and non-federal) to whom you are submitting and/or have submitted the application and/or who are funding the proposed activity; and
- 7) Signature of authorized Representative of the Applicant.

(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:

Only when requested to submit a full application, the Applicant must complete the following documents and submit a signed copy with their application to the Agreement Officer.

- (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)

(d) Budget and Budget Narrative:

The Budget must be submitted in US Dollars (US\$) 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 as applicable. 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 Applicant must ensure the budgeted costs address any additional requirements identified in the budget, such as Branding and Marking and environmental compliance and impact mitigation. 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 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 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.

(e) Detailed Budget Categories:

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.
- 2) **Fringe Benefits:** – The Applicant must propose a rate and explain how the applicant determined the rate. The Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
- 3) **Allowances:** If proposed, allowances 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.

- 4) **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. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
- 5) **Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property:** 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. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.
- 6) **Subawards:** Specify the budget for the portion of the activity 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.
- 7) **Construction:** Based on the requirements stated in the program description, the Applicant must conduct facility assessments to determine locations where structural renovations, refurbishment, or construction as well as the type of construction that may be required. Based on quantities and nature of work, **only if determined necessary or needed**, the Applicant must submit estimated construction costs and include it as a separate line in its application budget. *In accordance with the USAID Construction policy "Construction" means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.*
- 8) **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 activity proposed by the Applicant. The Applicant must 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.
- 9) **Indirect Costs:** The Applicant must indicate whether it is 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 the approach the Applicant is proposing and

provide the applicable supporting information. Below is one of the methods most commonly used for indirect costing and allowable for use by non US organizations:

De minimis rate of 10% of modified total direct costs (MTDC): As an organization that has never received a negotiated indirect cost rate agreement (NICRA), Applicants may choose to use the de minimis rate of 10% of modified total direct costs (MTDC). Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. 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's cost application or budget must clearly show and the budget narratives must describe which cost elements it charges indirectly and which ones it charges directly. See 2 CFR 200.414(f) for further information. The Agreement Officer will not deny Applicants the use of the de minimis rate unless the Applicant fails to meet the conditions for its use. Applicants are therefore requested to provide information certifying that their accounting system will successfully support the use of the de minimis rate of 10% of MTDC without double charging.

10) Cost Sharing: There is no cost share requirement under this APS. However, Applicants are at liberty to consider and propose any cost share level the organization can choose to contribute for activity implementation over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. If an Applicant chooses to provide cost share, it must also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting award and how that cost share will be used and accounted for.

(f) Prior approvals in accordance with 2 CFR 200.407:

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the Applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the Applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

(g) 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 sub-award 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.

(h) 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.

(i) Branding Strategy & Marking Implementation Plan:

The Applicant is requested to submit a branding strategy and marking plan as an annex to the technical application (not subjected to page limit). The plan must be in strict adherence to the USAID guidance in ADS320 and only where applicable - the PEPFAR branding and marking guidance.

All USAID-funded foreign assistance (including programs, projects, activities, public communications, or commodities) must be communicated, promoted, and marked as coming from the American people through USAID. Specific communications and promotion measures must be described in the “Branding Strategy” and “Branding Implementation Plan,” and specific marking will be described in the “Marking Plan” for this award. Branding and marking under this award must comply with the USAID Automated Directive System Chapter 320 Branding and Marking (ADS 320).

As this is a fully PEPFAR activity, the Applicant is also expected to adhere to PEPFAR branding guidance that can be found at this link:

<https://www.pepfar.gov/reports/guidance/branding/index.htm>

ADS 320 requires that, after the review of the applications, the USAID Agreement Officer requests the apparently successful applicant to submit a branding strategy and marking plan that describes how the activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies the donor and explains how they will be acknowledged. ADS 320 may be found at the following website:

<http://www.usaid.gov/sites/default/files/documents/1868/320.pdf>. However for purposes of expediting the award consideration for this activity, the Applicant must submit its proposed branding strategy and branding implementation plan as an annex to the technical application (not subjected to page limitations):

In preparation of the branding strategy and the marking plan guidance is available at <http://www.usaid.gov/branding>.

The submitted branding plan and marking strategy will be reviewed and approved by USAID/Malawi. If approved; the Agreement Officer will incorporate the branding plan and marking strategy into any resulting cooperative agreement. If not approved at the initial submission, USAID/Malawi will provide review feedback to the Applicant and request for revisions that will be considered as part of final agreement negotiations.

1. BRANDING STRATEGY – ASSISTANCE (JUNE 2012)

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

- d. **The Applicant must include in its cost application all estimated costs associated with implementation of the branding and marking for this activity**, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
- (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID requires the Applicant to use the “USAID Identity,” comprised of the USAID logo and landmark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, UNLESS if the RFA states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
 - (ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID identity and the Applicant's identity.
 - (iv) If branding in the above manner is inappropriate or not possible, the Applicant must explain how USAID's involvement will be showcased during publicity for the activity or project.
 - (v) USAID prefers to fund projects or activities that do not have a separate logo or identity that competes with the USAID identity. If there is a plan to develop a separate logo to consistently identify this activity, the Applicant must attach a copy of the proposed logos. This RFA will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
 - (3) The intended primary and secondary audiences for this activity or project, including direct beneficiaries and any special target segments.
 - (4) Planned communication or activity materials used to explain or market the activity to beneficiaries.
 - i. Describe the main activity message.
 - ii. Provide plans for training materials, posters, pamphlets, public service

announcement, billboards, Web sites, and so forth, as appropriate.

- iii. Provide any plans to announce and promote publicly this activity or project to host country citizens, such as media releases, press conferences, public events, and so forth. The Applicant must incorporate the USAID identity and the message, “USAID is from the American People.”
- iv. Provide any additional ideas to increase awareness that the American people support this project or activity.

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

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

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

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

2. MARKING PLAN – ASSISTANCE (JUNE 2012)

- (a) The Applicant must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID identity,” which comprises of the USAID logo and brandmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>.
- (b) The request for a Marking Plan, by the Agreement Officer from the Applicant, confers no rights to the Applicant and constitutes no USAID commitment to an award.
- (c) Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the Applicant ineligible for an award.
- (d) The Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(e) The Marking Plan must include all of the following:

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

- (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
 - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The Applicant must explain why each particular deliverable must be seen as credible.
 - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The Applicant must explain why each particular item or product is better positioned as host-country government item or product.
 - (iv) Impair the functionality of an item. The Applicant must explain how marking the item or commodity would impair its functionality.
 - (v) Incur substantial costs or be impractical. The Applicant must explain why marking would not be cost beneficial or practical.
 - (vi) Offend local cultural or social norms, or be considered inappropriate. The Applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) Conflict with international law. The Applicant must identify the applicable international law violated by the marking.
- (4) The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the Applicant's cost data submissions, and the performance plan.
- (5) If the Applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

1. Funding Restrictions:

- (1) Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.
- (2) Construction will not be authorized under awards resulting from this APS unless if the award is written to incorporate specific construction approval and allocation of construction resources.
- (3) USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.
- (4) Except as may be specifically approved in advance by the Agreement Officer, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B of this APS and must meet the source and nationality requirements set forth in 22 CFR 228.

2. Conflict of Interest Pre-Award Term (August 2018)

(a) Personal Conflict of Interest:

- (1) An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
- (2) The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the Applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the Agreement officer no later than ten (10) calendar days following discovery.

(b) Organizational Conflict of Interest:

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

[END OF SECTION D]

SECTION E: FULL APPLICATION REVIEW INFORMATION

1. Criteria

The merit review criteria prescribed here is tailored to the requirements of this APS. Applicants should note that these criteria serve to: (a) identify the significant matters which Applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be assessed by a Selection Committee (SC) using the criteria described in this section.

2. Application Review and Selection Process:

a) Merit Review:

USAID will conduct a merit review of all full applications received that comply with the instructions in this APS. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance.

No	Merit Review Factor	Weighting or Rank of Importance
1	Technical Approach	50% Percent (Most Important)
2	Management and Staffing Approach	30% Percent (Second most Important)
3	Organizational Capability and Past Performance: (a) Organizational Capability (b) Past Performance	20% Percent (Third and Last but not Least)

(1) Technical Approach:

The full application will be assessed to determine:

- The degree to which it demonstrates understanding of the subject content including the policy context as indicated in the background and overview sections of the component of choice.
- Degree to which the proposed approach and strategies are bold, innovative, and feasible.
- The degree to which the technical approach includes a clear implementation plan as required in this APS.
- Soundness and clarity of the proposed plan for sustainability of activities and approaches or activities that can be scaled up.
- The degree of clarity for the proposed performance monitoring and evaluation plan with measurable indicators as well as a learning agenda with a proposed development hypothesis to be tested.

(2) Management and Staffing Approach:

The application will be assessed to determine the realism and clarity of the proposed management plan and the qualification of the proposed personnel in terms of demonstrated capacity to provide performance that leads to attainment of activity objectives.

The key personnel proposed by the Applicant must possess relevant education, skills, and experience to demonstrate their ability to perform under the activity and effectively contribute to attainment of activity objectives and results.

USAID/Malawi will review the management and staffing approach to determine the extent to which it:

- Has personnel who are qualified and experienced vis-a-vis the technical approach;
- Demonstrates the requisite skills to implement a large, complex technical activity;
- Shows a management structure consistent with the activity technical approach and geographic scope;
- Establishes lines of authority and communications, including with sub-grantees' personnel, internal and external to the activity.

(3) Organizational Capability and Past Performance:

(i) Organizational Capability:

The full application will be assessed to determine the extent to which it demonstrates a sound internal structure, technical capacity, and corporate experience in technical areas relevant to the program. Sub-recipient arrangements, if any, with other civil society organizations (CSO), which enhance the effectiveness and capabilities of program implementation and the sustainability of the activity, will also be assessed.

(ii) Past Performance:

The full application will be assessed to determine the extent to it:

- (a) Demonstrates performance in (a) achieving results (including concrete developmental results of the programs), and (b) implementation of projects/activities similar in scope and breadth, including evidence of adherence to contract schedules and requirements, timely and thorough periodic reporting, forecasting and controlling costs and quality of products delivered, and (c) developing sound programs in a collaborative fashion.
- (b) It shows the Applicant's track record in implementing successful projects/activities of similar scope, complexity and size. Applicants has a history of reasonable and cooperative behavior; open lines of communication; the ability to follow-up on and resolve outstanding issues; and

a commitment to customer satisfaction in previous USG-funded activities/projects similar in scope and activity.

b) Cost Application / Budget Review:

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

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).

[END OF SECTION E]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices:

Award of an agreement or grant contemplated by this APS 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.

2. Administrative & National Policy Requirements:

The resulting award from this APS will be administered in accordance with the following policies and regulations:

- (a) Standard Provisions for Non-U.S. Non-governmental Organizations
- (b) Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations

See Annex 2, for a list of the Standard Provisions that will be applicable to any awards resulting from this APS.

3. Reporting Requirements:

3.1. FINANCIAL REPORTING:

(A) Reporting of Expenditures:

The Recipient shall submit quarterly financial reports using the SF 425 in keeping with 22 CFR 226.52. Electronic submission is preferred. The SF 425 shall be submitted to the Agreement Officer Representative (AOR).

(B) Specific Financial Reporting Requirements:

The Recipient must provide USAID/Malawi with quarterly financial data including a summary of finances and a pipeline analysis of funds obligated, funds expended, expenses accrued and funds remaining by budget categories. The financial information should be broken-out by fund category and year of obligation. This report must be submitted by the 15th day of the final month of each quarter. The awardee will also provide expenditure data as required for the PEPFAR Expenditure Reporting exercise, categorizing expenditure by program area, intervention, and further disaggregated by cost category. At present, this exercise is conducted annually after the close of the fiscal year but pending PEPFAR guidance may also shift this exercise to a quarterly time frame. The Recipient shall be required to respond to any changes in Expenditure Reporting in accordance with PEPFAR guidance.

(C) Reporting of Foreign Taxes:

The Recipient shall comply with the requirements set forth in Standard Provision entitled “Reporting of Foreign Taxes.”

3.2. PERFORMANCE REPORTING

The Recipient shall adhere to all reporting requirements listed below. All reports as required under Substantial Involvement shall be submitted by the due date for approval of the USAID AOR (Agreement Officer Representative) designated by the Agreement Officer. The AOR can request Ad Hoc reports throughout the life of the activity and as needed but will endeavor to limit these requests when regular reporting can provide the same information. The Recipient will consult with the AOR on the format and expected content of reports prior to submission.

(a) Annual Work Plans:

Within 45 days of award and 30 days before the start of a new USG fiscal year, partner is expected to submit a comprehensive work plan and budget for the implementation of activities over the relevant fiscal year (October 1st through September 30th). In general, the work plans should be broken down by program or implementation focus areas and guided by the relevant Malawi COP, MOP and OP submissions. Work plans should include costed-activities with accompanying budget narratives.

(c) USAID Reporting:

The partner must provide the following reports and plans to USAID for COR approval. All written documentation (correspondence, reports, information sheets, etc.) for submission by the Recipient to USAID/Malawi must be in English unless otherwise requested.

For PEPFAR activities partners will provide the required PEPFAR data as needed in a timely manner (through DATIM) to USAID/Malawi for the preparation of the PEPFAR quarterly, semi-annual, annual reports and the Country Operational Plan. The quarterly report Q3 is usually due in July each year and Q1 due in January. The semiannual report is usually due around the beginning of April each year; the annual narrative report and PEPFAR APR data are due in October each year.

(d) Performance Progress Reports:

The partner must provide Quarterly and Annual Activity Reports, and upon completion of the Activity a Final Report must be submitted according to the schedule identified in USAID Reporting and Deliverables Schedule. The reports from the Recipient must follow the format established by the COR and must include, in addition to specific information required in writing

by the COR, a narrative that addresses:

- Achievements and discussion of major activities;
- Problems encountered and proposed remedial actions;
- Success stories; and
- Lessons learned.

The Recipient must provide success stories in a readable, visually compelling format that USAID can use for communicating success stories to diverse audiences with minimal revisions. The Annual Activity Report must report against all indicators established in the MEP.

4. Program Income

If any program income is generated during the performance period of the cooperative agreement, the Recipient shall account for it in accordance with the stipulations of Standard Provision entitled Program Income for non-U.S. organizations). The generated program income shall be added to the activity. Additional guidance shall be provided by the Agreement Officer on case to case basis.

5. Environmental Compliance and Management

In accordance with 22 CFR 216.2, the Initial Environmental Examination (IEE) for Malawi Integrated Health and HIV Prevention Portfolio was approved by the Africa Bureau Environmental Officer in December 2018. It recommends both categorical exclusions pursuant to 22 CFR 216.2(c)(2)(i), (iii), (v), and (viii) for activities involving healthcare provider training, social marketing, education and social behavior change behavior change communication, analyses, studies, academic or research workshops, meetings, and a negative determination with conditions for the support for orphans and vulnerable children transition award. The conditions also include that the implementing partner adhere to the stipulations made in the Initial Environmental Examination for Sustainable Livelihoods approved by African Bureau Environmental Officer in August 2018 on socioeconomic interventions.

The Implementing partner will develop an Environmental Mitigation and Monitoring Plan (EMMP) describing how the project will, in particular terms, implement those conditions in the IEE that apply to project activities, including monitoring to assure appropriate implementation and sufficiency of environmental compliance measures. This shall include training of staff and partners, where appropriate.

The Implementing Partner shall integrate these environmental compliance measures into the project work plan and reported on them in the normal basis of project reporting. USAID/Malawi Health Team shall assure that this integration occurs. This reporting will be incorporated into pertinent Performance Monitoring and Evaluation Plans and annual work plans to be submitted to USAID/Malawi. The environmental monitoring report will be submitted to the AOR by the

end of each year.

The Implementing partner will notify USAID/Malawi Health Team of any work plan activities outside the scope of the approved Malawi Integrated Health and HIV Prevention Portfolio IEE, and the Health Team will independently audit the work plan against the scope of the IEE.

Any grants or fund transfers from the implementing partner to other organizations must incorporate provisions stipulating that:

- a. an annual environmental monitoring report will be completed, and
- b. activities to be undertaken will be within the scope of the environmental determinations and recommendations of this IEE. This includes assurance that any mitigating measures required for those activities be followed.

The implementers' periodic reports to USAID/Malawi Health Team will include a brief update on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures.

[END OF SECTION F]

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

Questions regarding this APS should be submitted electronically through e-mail to: lichimangeni@usaid.gov and gsuya@usaid.gov with a copy to oaa-malawi-solicit@usaid.gov no later than the date and time indicated on the cover letter of this APS or as amended.

[END OF SECTION G]

SECTION H: OTHER INFORMATION

(1) Funding Reservation:

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.

(2) Applications with Proprietary Data:

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

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

Additionally, the Applicant must mark each sheet of data it wishes to restrict with the following:

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

(3) Post Award Tax Guidance - Duty and Tax Exemption:

When an organization receives USAID funding to operate in Malawi, it must register the activity with the Malawi Government in order to receive duty free privileges and tax exemption waivers and refunds. It is important to note that tax exemption is granted to the award (activity), and not the organization.

Once an activity has been registered for duty free and tax exemption status, the following procedure should be followed to request duty free clearance of purchased commodities/goods: Note that waiver of duty free for commodities/goods is done up front.

Once an activity has been registered for tax exemption with the Malawi Ministry of Finance (MoF) through the relevant line ministry, the activity implementing organization needs to apply to the Commissioner General for VAT exemption. The Malawi Revenue Authority (MRA) Commissioner General will grant an approval letter which will be taken to the USAID Desk Officers at the MRA.

VAT Processing Roles and Responsibilities

Role of the Implementing Partner / Grantee:

- (a) Partner makes payments for services/small purchases and goods.
- (b) Partner records all the payments net of VAT as an expense in their accounting records.
- (c) Partner prepares claims forms for submission to MRA (see Chapter 4).
- (d) Partner maintains a record of all taxes claimed for VAT reimbursement and waivers.
- (e) It is the responsibility of the partners to ensure that receipts are valid and meet the requirements of the MRA.

Role of USAID/Malawi:

- (a) USAID AOR/COR endorses the MRA forms and provides an endorsement letters to USAID/ Executive Officer (EXO) for signature.
- (b) The USAID/EXO signs the cover letter as supporting documentation and returns the forms and letter to the Partner for submission to MRA.
- (c) USAID/OFM through the AOR/COR provides guidance and serves as a point of contact, along with the AOR, to assist with technical VAT related matters.

Role of MRA:

- (a) MRA reviews and makes payments, directly to the partner, when applicable.
- (b) MRA communicates any disallowances or required submission changes directly to the partner.

[END OF SECTION H]

ANNEX 1 - SUMMARY BUDGET TEMPLATE

If requested to submit a full application; Applicants must submit a detailed cost application / budget using format outlined in standard form “SF-424A”.

Summary Budget

Cost Category	Breakdown by Activity Year					Total 5 Year
	Yr. (1)	Yr. (2)	Yr. (3)	Yr. (4)	Yr. (5)	
(a) Personnel						\$0
(b) Fringe Benefits						\$0
(c) Travel						\$0
(d) Equipment						\$0
(e) Supplies						\$0
(f) Contractual						\$0
(g) Construction						\$0
(h) Other						\$0
(i) Total Direct Costs						\$0
(j) Indirect Charges						\$0
(k) Total Activity Amount	\$0	\$0	\$0	\$0	\$0	\$0

Note: *This template must be modified to fit the number of years for any proposed activity i.e. Some activities could be for three (3) years only or four (4) year, if such happens to be the case, the redundant year(s) must be eliminated.*

ANNEX 2 - STANDARD PROVISIONS

Administration of awards resulting from this APS will be guided by standard provisions included in the award dependent on the organization that is selected. The award will include the latest Mandatory Provisions for non-U.S. Nongovernmental organizations as outlined below

1. MANDATORY STANDARD PROVISIONS – COOPERATIVE AGREEMENT:

- M1. Allowable Costs (December 2104)
- M2. Accounting, Audit, and Records (October 2017)
- M3. Amendment of Award and Revision Of Budget (August 2013)
- M4. Notices (June 2012)
- M5. Procurement Policies (June 2012)
- M6. USAID Eligibility Rules For Procurement of Commodities and Services (June 2012)
- M7. Title to and Use of Property (December 2014)
- M8. Submissions to the Development Experience Clearinghouse and Data Rights (June 2012)
- M9. Marking and Public Communications Under USAID-Funded Assistance (December 2014)
- M10. Award Termination and Suspension (December 2014)
- M11. Recipient and Employee Conduct (June 2018)
- M12. Debarment and Suspension (June 2012)
- M13. Disputes and Appeals (December 2014)
- M14. Preventing Terrorist Financing (August 2013)
- M15. Trafficking In Persons (April 2016)
- M16. Voluntary Population Planning Activities – Mandatory Requirements (May 2006)
- M17. Equal Participation by Faith-Based Organizations (June 2016)
- M18. Nondiscrimination (June 2012)
- M19. USAID Disability Policy - Assistance (June 2012)
- M20. Limiting Construction Activities (August 2013)
- M21. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)
- M22. Pilot Program for Enhancement of Grantee Employee Whistleblower Protections (September 2014)
- M23. Submission of Datasets to the Development Data Library (October 2014)
- M24. Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements (May 2017)
- M25. Child Safeguarding (June 2015)
- M26. Mandatory Disclosures (July 2015)
- M27. Nondiscrimination against Beneficiaries (November 2016)
- M28. Conflict Of Interest (August 2018)

2. REQUIRED AS APPLICABLE STANDARD PROVISIONS – COOPERATIVE AGREEMENT:

- RAA1. Advance Payment and Refunds (December 2014)
- RAA2. Reimbursement Payment and Refunds (December 2014)
- 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 Sub awards and Executive Compensation (December 2014)
- RAA7. Sub awards (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)
- RAA14. 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 Sub recipients 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 Sub awards 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 Award Term and Condition for Recipient Integrity and Performance Matters (April 2016)
- RAA29. Protecting Life in Global Health Assistance (May 2019)

3. FIXED AMOUNT AWARD MANDATORY STANDARD PROVISIONS:

- M1. Submissions to the Development Experience Clearinghouse and Data Rights (June 2012)

- M2. Marking and Public Communications under USAID-Funded Assistance (July 2015)
- M3. Drug Trafficking and Drug-Free Workplace (June 2012)
- M4. Debarment and Suspension (June 2012)
- M5. Preventing Terrorist Financing (August 2013)
- M6. Trafficking In Persons (April 2016)
- M7. Voluntary Population Planning Activities – Mandatory requirements (May 2006)
- M8. Equal Participation by Faith-Based Organizations (June 2016)
- M9. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)
- M.10 Pilot Program for Enhancement of Grantee Employee Whistleblower Protections (September 2014)
- M11. Submission of Datasets to the Development Data Library (October 2014)
- M12. Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements (May 2017)
- M13. Child Safeguarding (June 2015)
- M14. Mandatory Disclosures (July 2015)
- M15. Nondiscrimination against Beneficiaries (November 2016)
- M16. Conflict Of Interest (August 2018)

4. FIXED AMOUNT AWARD REQUIRED AS APPLICABLE STANDARD PROVISIONS:

- RAA1. Fixed Amount Award Advance Payment and Refunds (June 2012)
- RAA2. Universal Identifier and System of Award Management (July 2015)
- RAA3. Reporting Sub awards And Executive Compensation (July 2015)
- RAA4. USAID Eligibility Rules For Procurement of Commodities and Services (June 2012)
- RAA5. Fly America Act Restrictions (August 2013)
- RAA6. Ocean Shipment of Goods (June 2012)
- RAA7. Reporting Host Government Taxes (June 2012)
- RAA8. Patent Rights (June 2012)
- RAA9. Exchange Visitors and Participant Training (June 2012)
- RAA10. Investment Promotion (November 2003)
- RAA11. Protection of Human Research Subjects (June 2012)
- RAA12. Statement for Implementers of Anti-Trafficking Activities on Lack of Support for Prostitution (June 2012)
- RAA13. Eligibility of Sub recipients Of Anti-Trafficking Funds (JUNE 2012)
- RAA14. Prohibition on the Use of Anti-Trafficking Funds to Promote, Support, or Advocate for the Legalization or Practice of Prostitution (June 2012)
- RAA15. Voluntary Population Planning Activities – Supplemental Requirements (January 2009)
- RAA16. Conscience Clause Implementation (Assistance) (February 2012)
- RAA17. Condoms (Assistance) (September 2014)
- RAA18. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (September 2014)
- RAA19. Metric System of Measurement (August 1992)
- RAA20. Access to USAID Facilities and USAID’s Information systems (August 2013)

RAA21. Limitation on Sub awards To Non-Local Entities (July 2014)

RAA22. Award Term and Condition For Recipient Integrity and Performance Matters (April 2016)

RAA23. Protecting Life in Global Health Assistance (May 2019)

ANNEX 3 - ABBREVIATIONS AND ACRONYMS