



**USAID**  
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**Questions Deadline for this APS Document:** July 22, 2019 at 10:00 am ET

**For questions on this APS document, please submit all questions to Mrs. Samantha Pierre via email at [spierre@usaid.gov](mailto:spierre@usaid.gov) by the deadline specified above.**

**Please see individual Round documents for each Round’s deadlines and submission instructions for concept papers.**

**For a USAID Mission or USAID/Washington Office wishing to issue a Round under this APS, the program description must fit within Section I of this document. Please contact Charles “Chuck” Pope ([cpope@usaid.gov](mailto:cpope@usaid.gov)) for review of the Round document - it must be reviewed before being posted publicly under this APS. All new Rounds must be posted as a NPI GH APS Round on the USAID Business Forecast.**

Dear Ladies and Gentlemen:

The United States Agency for International Development is announcing the **New Partnerships Initiative (NPI) Global Health** Annual Program Statement (APS) (known hereafter as NPI GH APS).

Through this APS, USAID announces its desire to engage locally-based new and underutilized partners to expand and amplify the Agency's work **in the health sector**. The overall Agency NPI seeks to support partner countries' progress on the Journey to Self-Reliance, achieve sustainable and resilient results, and catalyze more effective partnering for impact.

This APS is designed to support specific Administration and Agency priorities and criteria for new and underutilized partners (NUPs), especially locally-based NUPs. Individual USAID Missions or Bureaus (also known together as Operating Units) will then request Concept Papers via Rounds as the first step in a three-step process that could result in an award. For the purposes of the NPI Global Health APS, a "Round" is defined as a specific program description that falls under the larger NPI GH APS goal, purpose, and results but is tailored to a certain focus and/or type of new partnership. Interested organizations should read this entire APS, as well as any Rounds, and follow the instructions for submitting a Concept Paper. Applicants should not submit Concept Papers in response to this umbrella APS, but only to Rounds published to this APS. USAID reserves the right to fund any or none of the concept papers and applications submitted under this APS and its respective Rounds. USAID also reserves the right to not conduct a co-creation phase and request full applications from successful applicants at concept paper stage.

USAID is available to respond to questions from applicants about the process. Applicants should submit questions by email to the point of contact (POC) identified in the specific Round through which they are considering submitting a concept paper. Applicants should send general questions about the below information by email to Mrs. Samantha Pierre, Agreement Officer, at [spierre@usaid.gov](mailto:spierre@usaid.gov), by the deadline specified above. As Rounds occur, notifications will be posted on Grants.gov.

USAID sincerely hopes that your organization will consider submitting a Concept Paper to a Round of the **New Partnerships Initiative (NPI) Global Health APS**.

Sincerely,

**/ s / Charles S. "Chuck" Pope**

Charles S. "Chuck" Pope  
Supervisory Agreement Officer

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## SECTION I: PROGRAM DESCRIPTION

### I. FUNDING OPPORTUNITY DESCRIPTION

#### A. BACKGROUND

The U.S. Agency for International Development is issuing this APS pursuant to the Foreign Assistance Act (FAA) of 1961, as amended. The Agency will administer any resulting awards in accordance with Parts 200 and 700 of Title 2 of the Code of Federal Regulations (CFR), Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Standard Provisions for U.S./Non-U.S. Organizations; as well as the additional requirements in this APS and any Rounds.

#### USAID's New Partnerships Initiative (NPI)

To end the need for foreign assistance, USAID must focus on building self-reliance -- defined as the ability of a country, including the government, civil society, and the private sector, to plan, finance, and implement solutions to solve its own development challenges. This approach must be the cornerstone for how USAID orients awards and country partnerships.

In support of this, the Agency's New Partners Initiative (NPI)<sup>1</sup> is designed to make it easier to partner with new and underutilized development actors (namely local and locally established organizations), based on the belief that a larger and more diverse partner base will expand the available ideas, capabilities and networks to address shared development challenges.

USAID's Effective Partnering and Procurement Reform (EPPR) process, launched as part of USAID's Transformation, has sought to identify concrete opportunities for partnering with a broader cross-section of development actors, being more responsive to partners' ideas, and leveraging better the large amount of private development assistance into which the Agency has little visibility. This Annual Program Statement (APS) for the New Partnerships Initiative (NPI): Global Health is a result of that effort and hopes to serve as a springboard for specific needs USAID can help address.

#### Global Health

A robust health sector includes both public and private providers and partners. Leveraging the expertise and reach of local and locally established partners, such as (but not limited to) community based CBOs, faith based organizations (FBOs), and small businesses, is a key component of increasing the quality, access and sustainability of health programs at the country level. Building new effective and long-term partnerships can spur innovation and create new paths for development solutions to accelerate progress at the country and community level. The NPI GH APS is intended to facilitate locally generated solutions focusing on country empowerment and accountability to improve health services and leverage additional resources in USAID priority countries (see Appendix C).

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<sup>1</sup> <https://www.usaid.gov/npi>

NPI GH will specifically target local and locally established, new and under-utilized partners (NUPs). A new partner is defined by this APS as an organization that has never received direct or indirect awards from USAID. An underutilized partner is defined by the Agency as an organization that has received less than \$25 million in direct or indirect awards from USAID over the past five years. The five years is relative to when the organization is applying to a USAID procurement/funding opportunity. This APS is intended to increase organizations' technical and organizational capacity in order to better utilize the non-public health sector's ability to expand access to quality health care services for underserved and vulnerable populations.

## **B. PURPOSE**

### USAID's New Partnerships Initiative (NPI)

The overarching goal of the NPI GH APS is to empower new and underutilized partners, many of which are local and locally established organizations, to solve problems not adequately addressed by other USAID investments and that directly respond to the needs of the health sector. As an initiative, the Agency-wide NPI will increase USAID's programmatic impacts, based on more collaborative and adaptive partnering, and improve measurable outcomes at the country level through the following: 1) Leveraging private development assistance to respond to the Administration's priorities and strengthen long-term partners for the Journey to Self-Reliance; 2) Equipping and empowering new and underutilized development partners to maximize the impact of American tax dollars; 3) Supporting solutions that contribute to near- and long-term Administration priorities that will advance the President's *National Security Strategy* and support the Foreign Assistance Realignment; 4) Identifying development solutions that will be country- and partner-driven for maximum long-term impact; and 5) Creating incentives for expanding and diversifying USAID's partner base so that USAID helps to equip and fund more local and locally established partners to support country-level progress.

### **What is a "New" Partnership?**

NPI envisions four specific forms for engagement, each intended to offer different entry points for partnering directly or indirectly with local new and underutilized organizations, including locally established organizations. Organizations will need to respond to the specific Round announcement which may have some or all of these modalities listed below:

- a. Direct awards to new and underutilized organizations that are local entities in the host country(ies) in which an applicant is applying;
- b. Direct awards to new and underutilized organizations that are locally established partners (LEPs) in the host country(ies) in which an applicant is applying;
- c. Sub-awards that comprise between 50 to 75 percent of the total obligated funding amount to local new or underutilized partners (including locally established partners) via prime awardees serving in a mentorship role (the prime is not subject to the \$25 million criteria); OR
- d. Direct awards to partners to leverage private / non-USG funding.

In partnership option b and c above, a “locally established partner (LEP)” is defined by the Agency as: A U.S. or international organization that works through locally-led operations and programming models. LEPs:

- Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following:
  - Local staff should comprise at least 50% of office personnel;
  - Maintenance of a dedicated local office;
  - Registration with the appropriate local authorities;
  - A local bank account; and
  - A portfolio of locally-implemented programs.
- Have demonstrated links to the local community, including:
  - If the organization has a governing body or board of directors, then it must include a majority of local citizens;
  - A letter of support from a local organization to attest to its work; and
  - Other criteria that an organization proposes to demonstrate its local roots. (ADS 201, 303)

In partnership option d above, “leverage” is defined by the Agency as: Significant resources mobilized from non-U.S. Government sources. USAID seeks the mobilization of resources of other actors on a 1:2 or greater basis (i.e., 50 percent of the proposed value of the award). Leveraged resources may include grants/awards from non-U.S. Government organizations and other donor governments. (ADS 201, 303, 623)

Please see Section III of this APS for more detailed information on these four types of partnerships.

Partnerships developed under NPI Global Health APS are expected to contribute to advancing a country’s journey towards self-reliance and improving health outcomes at the country level, as defined in specific Rounds. Missions and B/IOs have broad latitude under this program to define health objectives related to their mission-specific contexts.

### **C. PROGRAMMATIC & GEOGRAPHIC**

This NPI GH APS provides the broad framework for USAID’s interest in supporting country-driven solutions, diversifying the partner base, and leveraging private development resources as described in the Section I.B. of this APS. This umbrella APS establishes the overall purpose, eligibility criteria, and process, under which specific and yet-to-be-determined requests will be issued (referred to as Rounds).

USAID will express specific programmatic and geographic priorities through individual Rounds, issued on an as-needed basis, which reflect the particular programmatic or geographic focus of a USAID Mission, or B/IO. This approach will ensure that specific Rounds reflect the objectives and nuances of each unique environment, and that USAID Missions or B/IOs are in a position to review concept papers and potentially issue awards (with assistance from USAID Washington when necessary).

## **Programmatic Health Priorities**

USAID's global health programs have three overarching strategic priorities that build on the success and focus of USAID's work in the health sector, while building sustainable and resilient health systems in the poorest regions of the world. Missions and B/IOs may focus on some or all of the health elements described below, as determined by their priorities. To see a breakdown of USAID-supported health programmatic areas, please see ADS Chapter 201 on the Global Health Program Accounts.

### ***Preventing Child and Maternal Deaths***

In the past 10 years, USAID has helped save the lives of more than 5 million children and 200,000 women through numerous programs. Efforts have focused on 25 priority countries (see Appendix C), that together account for more than two-thirds of maternal and child deaths worldwide. Despite this progress, more than 15,000 children and 830 women still die every day from preventable causes. Mothers and children are invaluable to their families, communities, societies, and economies, and the loss of even one life robs these families and communities of their potential. Through programmatic efforts in maternal and child health, nutrition, voluntary family planning and reproductive health, and water and sanitation, USAID is working to prevent child and maternal deaths globally.

### ***Controlling the HIV/AIDS Epidemic***

Since 1986, USAID's HIV/AIDS program has been on the forefront of the global AIDS crisis. As a key implementer of the U.S. President's Emergency Plan for AIDS Relief (PEPFAR), USAID provides global leadership; supports country-led efforts; and applies science, technology and innovation to support the implementation of cost-effective, sustainable and appropriately integrated HIV/AIDS interventions at scale to achieve HIV/AIDS epidemic control. Through PEPFAR to date, more than 13.3 million people are on life-saving antiretroviral treatment; 85.5 million people have received HIV testing and counseling, including more than 11.2 million pregnant women; 6.4 million orphans and vulnerable children have received care and support; and more than 250,000 healthcare workers have been trained to deliver HIV and other health services.

### ***Combating Infectious Diseases***

With scores of infectious diseases continuing to threaten humankind, USAID-led efforts include a focus on malaria, tuberculosis (TB), neglected tropical diseases plus other public health threats. Emerging public health threats such as Ebola and Zika have also been a growing priority for USAID in recent years. Part of addressing these infectious diseases includes programs that are strengthening health systems around the world by building better capacity to detect outbreaks, mitigate transmission, and prevent epidemics. Though still a critical issue, the prevalence of TB has declined by nearly 50 percent since 1990, and in 2015 alone, USAID programs continued to treat nearly 3 million people for TB and started more than 70,000 on multidrug-resistant tuberculosis (MDR-TB) regimens. Over the past 12 years, USAID has delivered over 2.3 billion treatments to about 1.1 billion people affected by neglected tropical diseases, a group of

parasitic and bacterial infections that cause profound suffering.<sup>2</sup>

### **Expected NPI GH APS Results**

The NPI GH APS will seek to utilize multiple modalities of awards designed to achieve the following overarching results:

- 1) Expanded number of new and underutilized partners contributing to the demand and utilization of high-quality, high-impact, health care services, information and supplies at sub-national or national levels, and
- 2) Increased organizational capacity of local or locally-established partners that are new or underutilized partners (as defined by USAID) to support the advancement or scale up of innovative health services in targeted geographic areas and across the health sector.

Other results under possible NPI GH APS award(s) could include but are not limited to:

- Increased number of new and underutilized partners working with USAID to improve health outcomes in targeted health interventions;
- Strengthened indigenous and/or local capacity to address health sector needs and to promote the sustainability of host countries' efforts to improve health outcomes;
- Increased number of new and underutilized partners that have received capacity building and support and can effectively meet USAID compliance and regulatory standards to receive direct awards;
- Increased number of beneficiaries (disaggregated by sex) receiving health outreach information on priority health interventions; and
- Increased number and percentage of targeted population seeking and receiving quality health service.

Round documents could specify the results for that Round based on the focus of that particular program description.

### **Cross-cutting Areas**

#### Gender Integration

Gender equality and women's empowerment are essential for achieving USAID's development goals. The USAID Gender Equality and Female Empowerment Policy ([https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy\\_0.pdf](https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf)) advances equality between women and men, boys and girls, and empowers women and girls to participate fully in and benefit from development activities, through the integration of gender in the entire project cycle -- from project design and implementation to monitoring and evaluation.

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<sup>2</sup> <https://www.usaid.gov/what-we-do/global-health>

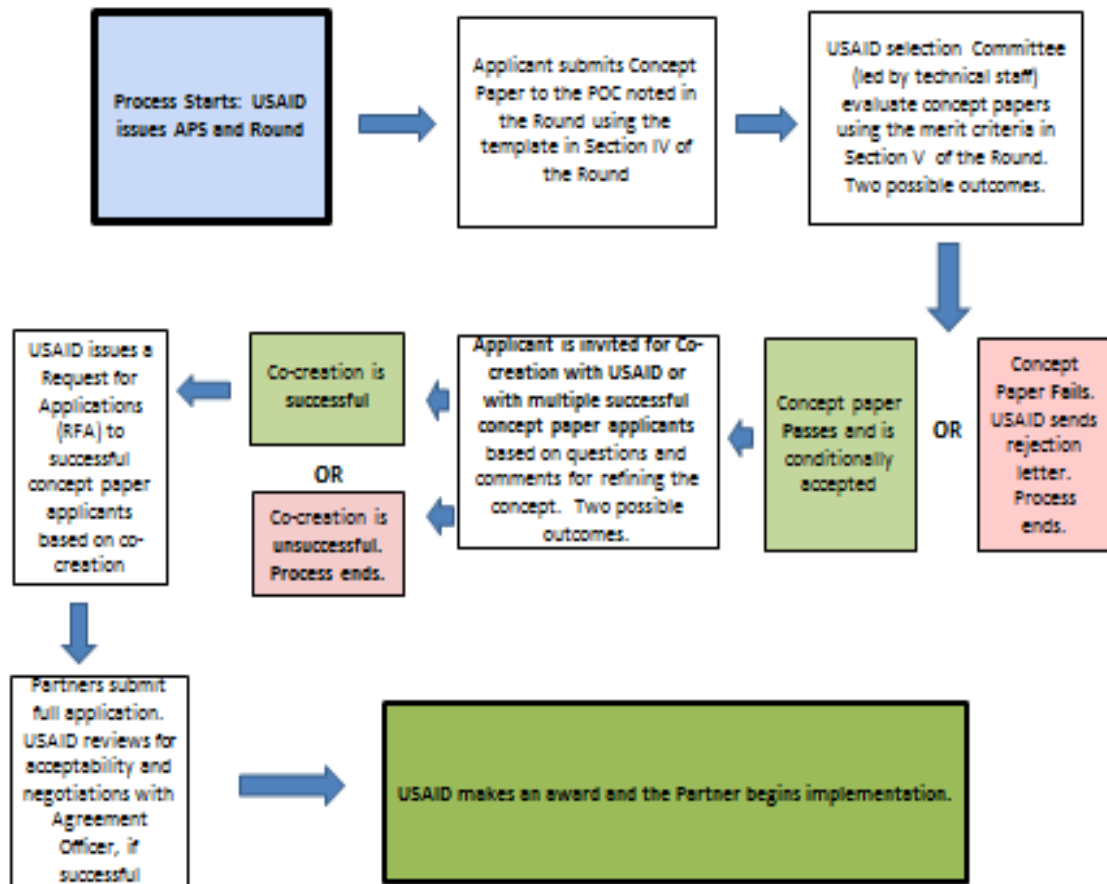
This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from the resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender-based violence and mitigating its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies. All activities under the NPI GH APS will contribute to reducing gender disparities in access to, control over, and benefit from health services.

Rounds under this APS may specify additional cross-cutting area including but not limited to youth and integrated programming.

**D. OVERALL PROCESS**

USAID has outlined the process through which potential applicants may apply under potential Rounds in Section IV of this APS. The diagram in Figure 1 below is a summary:

Figure 1



Extensive Partnership: Co-Creation and Shared Responsibility

In order to foster sustainable and transformational development impact in health, NPI GH APS award(s) shall entail extensive partnering and collaboration between USAID Missions or B/IOs and the applicant from design to implementation. Ideally, the applicable USAID Mission or B/IO will jointly identify and define with the applicant(s) the development problems to tackle in the program and then collaborate to determine whether and how to solve those problems and achieve the greatest degree of measurable, sustainable impact. USAID Missions or B/IOs will work with the applicant(s) to mobilize, leverage and more effectively apply each other's respective expertise.<sup>3</sup> Awards should be co-created, co-developed, and co-implemented. This means that, rather than telling applicants how USAID wants to solve a problem, the Agency presents a challenge and solicits the best ideas for how to address it and works from concept to issuance and then management of awards in an iterative, participatory, and collaborative process.

**[END OF SECTION I]**

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<sup>3</sup> Refer to 2 CFR 200.205, 200.207 and ADS 303.3.9 for additional information.

## **SECTION II: FEDERAL AWARD INFORMATION**

This APS is **not** a request for concept papers. Concept papers must be provided in response to, and in accordance with the instructions provided in, a specific Round. Specific information and instructions for awards under this APS will be provided in individual Rounds, which can be found under the APS funding opportunity posting on Grants.gov by clicking on the “Related Documents” tab. USAID is under no obligation to review general concepts submitted under this umbrella APS, or to provide feedback for such submissions.

USAID intends that this APS will be used to provide for full and open competition for responsible qualified applicants.

### **A. FUNDING**

The NPI GH APS is not supported by specific funds. The funding for the Rounds under this APS will be provided through USAID/W offices, as well as USAID mission field support for USAID/W issued Rounds, and direct USAID mission funds for USAID/Mission issued Rounds. As determined by the source of funding, awardee(s) will be expected to comply with the legal and USAID policy requirements that govern the Agency’s programming.

Pending funding availability, there may be multiple Rounds for this APS that will all aim to meet the Purpose mentioned in Section I. The financial range for award(s) will be specified in each Round.

### **B. START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS**

Concept papers must offer a period of performance in accordance with the guidance provided in the Round. The initial period of performance must be 60 months or less.

Multiple awards may be made as a result of the Round(s) of this APS. The actual number of awards under the Round(s) of this APS is subject to the availability of funds and the viability of concept papers/applications received. Accordingly, USAID reserves the right to award multiple awards, one award, or no awards at all under each Round.

### **C. EXPECTED IMPLEMENTATION MECHANISM**

Awards resulting from this NPI GH APS may take the form of a grant (including but not limited to a fixed amount award) or cooperative agreement (including but not limited to framework agreements and Leader with Associates awards). Each Round will define the types of award instruments available for potential awardees. If a Round anticipates awarding a cooperative agreement, the expected substantial involvement will be included in the Round. Please see Section VI for more information on each type of potential assistance mechanism. An acquisition mechanism will not be awarded under any Round of this APS.

### **D. INTELLECTUAL PROPERTY**

Intellectual Property is discussed in 2 CFR 200.448 (for US NGOs) and in Mandatory Provision 7 Title to and Use of Property (December 2014) (for non-US NGOs). In general, awardee(s) may elect to pursue ownership of intellectual property that is developed as a result of an award from a Round of this APS. In such cases, USAID would typically retain a nonexclusive, non-transferable, royalty-free license to use any such intellectual property.

**E. AUTHORIZED GEOGRAPHIC CODE**

The authorized geographic code for the procurement of services and commodities is 937. If a Round wants to utilize geographic code 935, a waiver in compliance with 22 CFR 228 must be approved prior to the Round document being released.

**F. BENEFITING GEOGRAPHIC AREAS**

Priority countries are included in Appendix C. If a Round of this APS has a specific geographic focus, it will clearly state this. This does not, however, preclude activities in other USAID-supported countries.

**[END OF SECTION II]**

## **SECTION III: ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

U.S. and non-U.S. public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, public international organizations, and non-governmental organizations, are eligible to submit a concept paper under each Round(s) of the APS. Further, the organization must be a legally-recognized, organizational entity under applicable law, legally registered in a country within the geographic code 937 (“the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source,” per ADS 310.3.1.1). Each Round may further restrict eligibility if the Mission or B/IO determines it is in their best interest (this may be subject to further approvals).

All applicants must comply with all USAID required rules and requirements.

Each recipient must be a responsible entity. The AO may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program. USAID strongly encourages applications from potential new partners who meet the eligibility requirements and are willing to be subjected to a Pre-Award Survey.

Individuals, unregistered, or informal organizations are not eligible to apply to this APS. Concept papers from organizations that do not meet the above eligibility criteria, and individuals, will not be reviewed and evaluated.

Additionally, consistent with the Round to which they are applying, the applicant must identify which of the four types of partnerships they are seeking below in the concept paper to be eligible. A concept paper that does not meet the type(s) of partnerships allowed in a Round will be determined to be ineligible and not be evaluated:

#### **Four Types of Partnerships**

NPI envisions four specific forms for partnerships (funding modalities), each intended to offer different entry points for partnering directly or indirectly with new, underutilized, or established organizations. Organizations will need to respond to the specific Round announcement which may have some or all of these modalities listed below:

- Modality 1: Direct awards to new and underutilized organizations that are local<sup>4</sup> entities in the host country(ies) in which the applicant is applying. New and

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<sup>4</sup> As defined in ADS 303.3.6.5(b)(2): “For purposes of consistency and reporting, the definition of ‘local entity’ means an individual, a corporation, a nonprofit organization, or another body of persons that: (1) Is legally organized under the laws of; (2) Has as its principal place of business or operations in; (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance. For purposes of this section,

underutilized partners that are local entities may apply for direct funding via specific Rounds issued under the NPI GH APS. Per Section I and Appendix B of this APS, a new partner is defined by this APS as an organization that has never received direct or indirect awards from USAID. An underutilized partner is defined by the Agency as an organization that has received less than \$25 million in direct or indirect awards from USAID over the past five years. The five years is relative to when the organization is applying to a USAID procurement/funding opportunity.

- Modality 2: Direct awards to new and underutilized organizations that are locally established partners (LEPs) in the host country(ies) in which the applicant is applying. U.S.-based or international partners are eligible if (1) they meet the definition of a LEP (please see Section I and Appendix B); (2) they have received less than \$25 million cumulatively in USAID funding over the previous five (5) years to date; and (3) currently have additional, non-USAID funding streams that exceed total funding received worldwide from the USAID (*e.g.*, if an applicant has implemented \$5 million in USAID funding, it must demonstrate at least \$5 million in funds worldwide from sources other than the USAID).
- Modality 3: Sub-awards to local new or underutilized partners via prime awardees serving in a limited mentorship role. NPI recognizes the important role and capacity that established partners (defined in this APS as those organizations that already have a financial relationship with USAID above the threshold established in the APS of \$25M in USAID funds in the past five years) bring to local new and underutilized organizations around the world. NPI acknowledges that many partners lack the capacity, or desire, to comply with the stringent requirements associated with awards from the U.S. Government. This modality will allow established partners to build the capacity of local new and underutilized partners to meet the requirements to become a USAID direct awardee or provide them the support they need to implement programs under this APS that have measurable impact. Established partners will play a support role to build the capacity of local new and underutilized partners (*e.g.*, through technical oversight, compliance support, and mentoring). The prime will not directly assist project beneficiaries. NPI envisions two modalities of support under this approach, focused on partnering with either local new and underutilized entities (modality 3a) or new and underutilized LEPs (modality 3b) as sub-awardees:
  - Modality 3a: Local Entity Sub-Awardees Moving to Direct Award. Prime awardees must pass at least 50 -75% of total award funds obligated to local new and underutilized partners as sub-awardees, with a goal of moving them to qualify for direct awards. In appropriate cases, USAID

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

might pursue prime / mentor awards with a provision for transition awards<sup>5</sup> to some entities during the life of the award.

- Modality 3b: Locally Established Partner Sub-Awardees. Prime awardees must pass at least 50 - 75% of total award funds obligated to sub-awards to locally established partners (LEPs) that are new and underutilized entities. An award could also have a structure in which the prime partner retains a declining percentage of the value of the award year-on-year (*e.g.*, from 25 percent in Year 1 to 20 percent in Year 5); the average across the years must be at least 50% to LEPs that are new and underutilized.
- Modality 4: Direct awards to partners to leverage private/non-USAID funding. NPI also seeks to support partnerships with organizations that can leverage their own private (non-USG) funding, in recognition of the important dual-role that many partners have as both implementers and fundraisers. Organizations of all types (non-profit, private sector, etc.) can apply. Awardees must propose additional leveraged funds worth a minimum of 50 percent of the total value of the award they seek from USAID; this cannot include in-kind contributions but can include non-federal grants and external awards.

While for-profit firms may participate, pursuant to 2 CFR 200.400(g) it is USAID's policy not to award profit to prime recipients and sub-recipients under assistance instruments. However, while profit is not allowed for sub-awards, the prohibition does not apply when the recipient acquires goods and services in accordance with 2 CFR 200.317 -326, "Procurement Standards." This is discussed more specifically in ADS 303sai "Profit Under USAID Assistance Instruments," which can be found at this link:  
<https://www.usaid.gov/sites/default/files/documents/1868/303sai.pdf>.

## **B. COST SHARE**

There is no requirement for cost sharing or matching in this NPI GH APS as it is not a funding opportunity itself. However, Rounds issued by Missions or other B/IOs may require cost sharing or matching. Instructions on such cost sharing or matching will be provided in the Round. Cost sharing will not be required under a fixed amount award mechanism. For guidance on cost sharing in grants and CAs, please see the ADS 303.3.10 and 2 CFR 200.306 for US NGOs. For non-US NGOs, all cost sharing would be subject to the Applicable Provision "Cost Sharing" in ADS 303mab.

**[END OF SECTION III]**

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<sup>5</sup> Under the NPI GH APS, a transition award is defined as a partner which previously received funding as a sub-awardee and has now transitioned to receiving direct funding from USAID or other donors.

## **SECTION IV: CONCEPT PAPER SUBMISSION INFORMATION**

**Concept papers will be accepted under issued Rounds of this APS. Please refer to the specific Round documents for detailed information on the concept paper submission guidance including concept paper requirements and merit review/evaluation criteria for the specific Round. General guidance for all Rounds under this APS is provided below.**

**NOTE:** To be considered as a potential prime on a full application, an organization must submit a concept paper (as a prime or sub-partner) to the relevant Round. Please note that an organization may not submit more than one concept paper to a given Round. **If an organization submits more than one concept paper only the first one received by timestamp at USAID will be evaluated.**

### **A. AGENCY POINT OF CONTACT**

Questions and Answers: All questions regarding this APS should be submitted in writing to Mrs. Samantha Pierre via email at [spierre@usaid.gov](mailto:spierre@usaid.gov) by the deadline on the cover page.

USAID is under no obligation to review general concepts submitted under this overall APS, or to provide feedback for such submissions.

Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment to this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

Concept Paper submissions must be submitted to the e-mail address point of contact specified in each separate Round.

Issuance of this APS does not constitute an award or commitment on the part of the USG, nor does it commit the USG to pay for costs incurred in the preparation and submission of a concept paper or an application. Applicants submit Concept Paper applications at their own risk and all preparation and submission costs are at the applicant's expense.

USAID reserves the right to close or amend the APS on or before the closing date, stated on page 1. Therefore, for each issued Round, organizations are encouraged to apply as soon as possible to be considered for review to maximize the possibility of receiving available funding.

### **B. CONCEPT PAPER AND APPLICATION PROCESS**

Each Round will outline a three-phase process:

Under the NPI GH APS Rounds, there will be a three-phase process where applicants first submit a concept paper for an initial competitive review:

1. All concept papers received during a Round will be evaluated by a USAID Merit Review Committee (MRC) for responsiveness to the merit review/evaluation criteria outlined in each Round.

2. After the concept papers are evaluated, successful applicants may be invited to continue the co-creation and collaboration process to identify and develop the activities that will help achieve the results desired under this APS and specific Round(s); identify and incorporate additional partners; and determine respective roles and responsibilities related to the implementation of those activities.
3. If there is a co-creation phase, additional instructions and criteria for full application submissions will be provided after evaluation of concept papers, co-creation workshop (if necessary), and when full applications are requested.

## **PHASE 1: CONCEPT PAPER SUBMISSION**

A Concept Paper is a short, five (5) page document where the applicant provides an overview of its idea. USAID has provided a template in Section C below.

Applicants must submit a Concept Paper in response to an active Round by the deadline specified in the Round document. The USAID Operating Unit that issued the Round will acknowledge Concept Paper submission within 3 business days. Each Round will review Concept Papers against merit review criteria detailed in the Round document. USAID will notify potential applicants of significant changes in the review process timeline through a written amendment to the Round. USAID, at its sole discretion, reserves the right to review Concept Papers out of cycle. USAID reserves the right to pose clarifying questions and conduct discussions with any applicant, but may not opt to do so if it believes it has sufficient information in the concept paper itself. Posing clarifying questions and conducting discussions with one applicant does not obligate USAID to do so with all applicants.

USAID anticipates two (2) possible results from the Concept Paper merit review process:

- **Conditional Acceptance** - Invited for Co-Creation: Concept Paper generally meets Round objectives and receives a PASS when evaluated against the Round merit review criteria. Additional clarity is needed. USAID invites applicant to engage in co-creation or to submit a full application if co-creation is determined to not be necessary.
- **Rejection**: Concept Paper does not meet Round objectives and receives a FAIL when evaluated against the Round merit review criteria. USAID Mission or B/IO rejects the Concept Paper. Not every organization that submits a concept paper through a Round of this APS will automatically be selected to participate in co-creation. Due to the number of concept papers received, USAID is not able to provide details on why concept papers were not selected.

USAID also reserves the right to make an award without discussions if determined to be in the Government's best interest.

Proposed concept papers must not exceed maximum funding amounts as described in each Round. Applicants may submit concept papers during a particular time period designated within the Round document. The number or limitation on Concept Papers that will be reviewed will depend on the details within the Round. If there is a ceiling on the number of concept papers to be reviewed in a particular Round, it will clearly state how many concept papers will be accepted. Further, if an organization does not submit a successful concept paper and is not invited to attend the co-creation workshop/submit a full application in a specific Round then that

organization may still submit another concept paper in a future Round(s), if one occurs. Merit review/evaluation criteria will be revised to the specifics of the Round; another submission in another Round does not guarantee a successful concept paper and invitation to attend the co-creation workshop/submit a full application.

## **PHASE 2: CO-CREATION**

Applicants that have successful Concept Papers may be invited for co-creation, and will engage with USAID Mission or B/IO, and/or possibly other successful concept paper applicants. If the applicants work with USAID only, it will be to work through areas of weakness and to respond to USAID Mission or B/IO questions and clarify aspects of the concept that are not clear. The co-creation process with USAID only builds on a Concept Paper that has strength and potential; it is not intended to develop new concepts from the ground up. During this phase, applicants will work with USAID technical teams to address issues. Another option for co-creation is for a workshop with all of the successful concept paper applicants in one Round. In such a case, USAID's discussions with those applicants will take place within the parameters of publicly available information. These parameters provide ample room for extensive, robust discussions regarding the development problem/goal in question, best practices, lessons learned in the relevant technical sectors, and pertinent research and evaluations and various other matters. After concept papers have been submitted, USAID personnel can have highly specific, detailed activity design discussions with the applicants throughout the remainder of the process, e.g., up to and through any award that might be issued under a Round of this APS.

Concept papers should be free of any intellectual property that the applicant wishes to protect, as the concept papers may be shared with other organizations as part of the co-creation process. However, once potential partners have been invited to engage in further discussions, they will work with USAID to identify proprietary information that requires protection. Therefore, organizations submitting concept papers provide USAID a royalty free, non-exclusive, and irrevocable right to use, disclose, reproduce, and prepare derivative works, and to have, or permit others to have, use of any information contained in the concept paper submitted under each Round(s) of this APS. If USAID engages with the organization regarding its concept paper, the parties can negotiate further intellectual property protection for the organization's intellectual property. Organizations must ensure that any submission under all Round(s) of this APS is free of any third party proprietary data rights that would impact the license granted to USAID herein.

The goals of a co-creation workshop would likely be to explore and validate key challenges and problems, and then jointly develop promising solutions or adapt and expand upon existing solutions. Ideas described within the concept papers may be discussed and further developed in the workshop, but workshop thinking, and possible eventual full applications, will not be limited to these ideas. The workshop is also intended to help identify potential consortia and partnerships to support these new or existing solutions and activities.

**Note: None of USAID's communication during the co-creation process in all Rounds of this APS should be interpreted as a commitment to making an award of USAID funding.**

Regardless of the co-creation approach, USAID envisages a product of the co-creation process to be a strong draft project description from each selected applicant/consortium for the full application phase, as well as quantitative and/or qualitative indicators or performance milestones. Note on additional partners/resources: Until full applications are submitted, both the applicant

and USAID may identify and include potential additional technical partners and/or potential resource partners. All additional sub-partners may be included as part of a subsequent full application if there is an agreement to do so between the potential sub-partner, the original concept paper applicant, and USAID, but this is not guaranteed. Discussions with potential resource partners may continue throughout each Round's process and during implementation.

If an applicant does not succeed at the co-creation phase, the process ends for that applicant. USAID reserves the right to remove any co-creation participant from award consideration should the parties fail to reach agreement on activity concept, design, award terms, conditions, or cost/price within a reasonable time, the participant fails to provide requested additional information in a timely manner, or the U.S. Government believes it is in its best interest.

Concept papers that are submitted late or are incomplete may not be considered for the co-creation workshop or request for full applications (if co-creation workshop is not held). Additional information in the concept paper not requested by each Round of the APS may be removed and may adversely affect an applicant's evaluation/review.

USAID also reserves the right to not conduct a co-creation phase and request full applications from successful applicants at concept paper stage.

### **PHASE 3: FULL APPLICATION**

After the co-creation phase, if the Merit Review Committee decides a full application(s) is warranted, full application instructions and criteria will be provided to the selected applicant(s) or groups of applicants that are proposing to work together. The RFA will provide complete instructions for submission of a full application. The full application will detail and expand upon the concept(s) developed through co-creation. The full application also requires the applicant to complete specific USG forms and to provide additional information that the USAID Mission or B/IO will need to move forward with an appropriate implementing instrument. All full applications will be reviewed for their technical merit against the full application merit review/evaluation criteria by the Merit Review Committee. Using its technical expertise, the Merit Review Committee may suggest revisions and additions to the proposed project as well as potential partners and resources. USAID will continue to have robust communication with applicants, potential partners, and other key stakeholders regarding the technical substance of the evolving approach, as well as the identity and roles of proposed or additional partners. USAID may request that key personnel of applicants deemed responsive and eligible deliver an oral presentation describing their proposed technical approach to inform the technical merit review.

If the Merit Review Committee selects application(s) for funding, its review will be shared with the Agreement Officer for cost analysis, final approval and award negotiation. During this stage, the Apparently Successful Applicant(s) and USAID can further design the technical approach, and clarify general resource requirements, additional partner involvement, and management control of the project under the guidance of the Agreement Officer. The Apparently Successful Applicant(s) may also be asked to provide additional information about its technical approach, capacity, management and organization, proposed cost and budget, responsibility, and representations and certifications.

The Agreement Officer will engage in final review, negotiation, and determinations of award responsibility, and cost reasonableness, and will draft an assistance mechanism, to be reviewed by the Apparently Successful Applicant. Information regarding possible award provisions will be offered to the applicant, as well as the final award provisions when the award is drafted. USAID reserves the right to accept applications in their entirety or to select only portions of the application to award.

There are reasons why an applicant may be unsuccessful at the full application phase. For example:

- The application is not compliant with the request for full application, including (but not limited to) not adequately meeting the Merit Review Criteria
- A partner that is bringing additional, non-Federal, funds to the application (resource partner) –or is a NUP that was proposed as a sub-awardee under Modality 3 - drops out, or does not materialize, and the applicant no longer meets the Round required partnership modality in Section III;
- The applicant refuses to sign the necessary certifications and representations, or does not agree to a mandatory provision, such as Protecting Life in Global Health Assistance;
- The applicant cannot provide evidence that it is a legal entity in the country or countries for which it is submitting an application; or
- The USAID Mission or B/IO has other concerns after conducting due diligence or pre-award surveys.

USAID reserves the right to make no award under this APS or any Round at any stage of the process.

If requested to submit a full application, the applicant(s) (unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)), is required to:

- i. Be registered in SAM (System for Award Management) before submitting its application;
- ii. Provide a valid DUNS (Data Universal Numbering System) number in its application; and
- iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

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

Per 2 CFR Appendix I to Part 200, Full Text of the Notice of Funding Opportunity, Section E, 3, USAID informs all potential applicants:

“i. That the Federal awarding agency [USAID], prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM, currently Federal Awardee Performance and Integrity Information System (FAPIIS) (see 41 U.S.C. 2313);

ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency [USAID] previously entered and is currently in the designated integrity and performance system accessible through SAM;

iii. That the Federal awarding agency [USAID] will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in CFR 200.205 Federal awarding agency review of risk posed by applicants.”

### **C. FUNDING RESTRICTIONS**

Construction is not an allowable activity under this APS. Relevant risk assessments must be completed before the awardee(s) can incur costs for any minor renovation work that does not qualify as construction. Also, USAID does not allow reimbursement of pre-award costs under any Round of this APS.

### **D. CONCEPT PAPER CONTENT**

No additions or modifications to concept papers will be accepted after the submission date for each Round of this APS. Applicants must submit only the information and materials requested and in the format specified below. NOTE: Round documents can revise the Concept Paper Template below as needed.

- Concept Papers **MUST** be in English and submitted electronically via e-mail in Word 2000 or Word 2003 text accessible or Adobe PDF.
- Concept Papers **MUST** not exceed five (5) pages, using 1” page margins with 12 point font and single spacing. USAID will not accept any concept paper that is more than five (5) pages in length.
- Clarity and specificity are important as is ensuring that the Concept Paper narrative addresses the criteria outlined in each Round that will be used to review the Concept Paper. During the merit review process, the USAID Mission or B/IO may reject for funding those Concept Papers that are vague or merely restate language found in the Round.

**USAID NPI GH APS CONCEPT PAPER INSTRUCTIONS**

**A. Concept Paper Cover Page – (please complete the following questions below)**

(For Partners Applying as New/Underutilized Local Partner) We certify that, in line with the criteria enumerated in Section III, Sub-Section A of the NPI GH APS, our organization has not received more than \$25 million in direct or indirect funding from USAID over the last five (5) years to date.

(For Partners Applying as New/Underutilized Locally Established Partner) We certify that, in line with the criteria enumerated in Section III, Sub-Section A of the NPI GH APS, our organization has not received more than \$25 million in direct or indirect funding from USAID over the last five (5) years to date, can demonstrate non-federal funding equal to or greater than the award value of this concept paper, and meets the definition of a LEP per ADS 303.

(For Partners Applying for a Limited Mentorship Award) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization will use the following modality to provide sub-awards [please select which one applies or both, if appropriate]:

Modality 3a

Modality 3b

(For Partners Applying using Leverage) We certify that, in line with the criteria enumerated in Section III, Sub-Section A of the NPI GH APS, our organization can demonstrate a match in additional leveraged funds worth a minimum of 50 percent of the total value of the award we seek from USAID; we certify further that this amount does not include in-kind contributions, but could include non-Federal grants and external awards.

1. Proposed Activity Name/Title: \_\_\_\_\_

2. Relevant Round: \_\_\_\_\_

3. Certification, with Explanation, of the Type of Proposed Partnership (from Section III of the APS):  
\_\_\_\_\_

4. Period of Performance (i.e., start date and end date): \_\_\_\_\_

5. Total Program Amount (in USDs):  
\_\_\_\_\_

6. Total Amount of Funding Requested from USAID and total amount leveraged (if applicable), including from what source(s):  
\_\_\_\_\_

7. **Applicant Organization Name:** \_\_\_\_\_
8. **Applicant Contact Person** (*name, phone, e-mail*):  
\_\_\_\_\_
9. **Full Address for Applicant Organization:** \_\_\_\_\_
10. **Type of Organization [please include certification of incorporation]** (*e.g., US, non-US, multilateral, private, for-profit, nonprofit, etc.*) *date of incorporation, etc.*):  
\_\_\_\_\_
11. **(If Applicable) Name(s) of Partner(s) Organization(s)** (*Applicants that are applying as Mentors will name Sub-partners here*): \_\_\_\_\_

**B. Concept Introduction:** (*approximately 1 page*). Identify the problem your organization will address, linking it to one or more of the Round's focus areas and briefly describe your organization's intervention for tackling this problem. Describe why there is a strategic need for your organization's concept, how it differs from alternatives, and any relevant partner-specific considerations for the problem or solution. Explain how the proposed project supports or relates to the Mission's Country Development Cooperation Strategy (CDCS) or Strategic Framework and how the program advances the country's Journey to Self-Reliance and the principles of NPI or if the Round allows for multi-country awards, please explain how the program advances each country's Journey to Self-Reliance.

**C. Beneficiaries:** (*approximately 1/2 page*). Describe the types of benefits the intervention will produce and the types and range of people who will benefit from this intervention. Was the concept designed with end user input? Has it been, or can it be, adapted to reach women and men, indigenous people, ethnic and/or religious minorities, and youth? How can the concept be scaled up to reach more people?

**D. Geographic Location:** (*approximately 1/2 page*). In what location(s) (*e.g., Province, city, country, etc.*) is your organization proposing to operate? Describe key elements of, and actors in, the geographic location(s) in which your organization proposes to work. What are the biggest challenges and opportunities? Please provide a brief description of your organization's previous work experience in this geographic location.

**E. Intervention approach:** (*approximately one [1] page*). Building on the introduction, propose an approach for how this intervention will produce the desired impact in the focus area(s) identified. Briefly describe critical barrier(s) or problem(s) related to the focus area(s) that your organization's concept addresses. Be sure to include information describing why the approach is creative or innovative, how it is potentially scalable, and evidence to support it as a tested solution or as an intervention likely to have a significant development impact in the health sector and how it will be sustained.

**F. Intervention results:** (*approximately one [1] page*). As specifically as possible, describe the anticipated outputs, outcomes, results and/or impact of the proposed intervention. What are the key, quantifiable metrics related to your organization's project's performance or expected performance? What is the scale needed to achieve results sufficient to address the

*problem? What are the baselines that your organization will measure before the project begins?*

**G. (If applicable) Partner roles:** *(approximately ½ page). Describe and define the role of other entities in the partnership. This must include a description of the leveraged funding, if necessary, or sub-partners if submitting a mentorship program. It must describe how this meets the criteria in Section III of the NPI GH APS. If your organization is not proposing any partners, this section can be empty.*

**H. Applicant capacity:** *(approximately ½ page). Describe organizational capacity – technical, managerial, financial, etc. – to carry out the proposed intervention. What is the business model for your organization’s intervention? Have you worked in this sector previously? If your organization is applying to mentor local and underutilized partners or LEPs, describe the organization’s credibility within targeted communities, and a demonstrable commitment to addressing the health program areas within the context of programs already providing other health services.*

*Signature of authorized individual*

**[END OF SECTION IV]**

**SECTION V: CONCEPT PAPER REVIEW INFORMATION**

**A. MERIT REVIEW CRITERIA**

USAID Missions and B/IOs will review for merit all Concept Paper that comply with the instructions in this APS and relevant Round document.

Each Round will specify merit review criteria appropriate for their context. In addition, all Rounds must include the following review criteria:

<b>Merit Review Element</b>	<b>Definition</b>
<b>Advancing NPI principles</b>	<p>The extent to which the concept paper advances one or more of the principles of the New Partnerships Initiative. The principles of the NPI are the following:</p> <ol style="list-style-type: none"> <li>1) Leveraging private development assistance to respond to the Administration’s priorities and strengthen long-term partners for the Journey to Self-Reliance;</li> <li>2) Equipping and empowering new and underutilized development partners to maximize the impact of American tax dollars;</li> <li>3) Supporting solutions that contribute to near- and long-term Administration priorities that will advance the President’s <i>National Security Strategy</i> and support the Foreign Assistance Realignment;</li> <li>4) Identifying development solutions that will be country- and partner-driven for maximum long-term impact; and</li> <li>5) Creating incentives for expanding and diversifying USAID’s partner base so that USAID helps to equip and fund more new and underutilized local and locally established partners to support country-level progress.</li> </ol>

**[END OF SECTION V]**

**SECTION VI: FEDERAL AWARD ADMINISTRATION INFORMATION**

**A. FEDERAL AWARD NOTICES**

The Agreement Officer (AO) is the only individual who may legally commit the USG to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed Award or a specific, written authorization from the AO. Awards will be administered in accordance with 2 CFR 200, 2 CFR 700, and Standard Provisions for US/Non US organizations as applicable.

**B. TYPE OF AWARD**

USAID has a number of assistance award types to choose from when providing funds under a Round of this APS to Apparently Successful Applicants. The type of award and terms and conditions included therein is based upon the recipient organization type, programmatic factors, and other due diligence matters (including a pre-award risk assessment) determined by the AO (in consult with the MRC). Following is a matrix of commonly used awards, their general prescription for use and key characteristics:

Award Type:	Generally used when:	Characterized by:	More information:
Fixed Amount Award (FAA)	Milestones can be defined; Adequate pricing information is available; Recipient has limited financial and management capacity. Must be a grant – not a cooperative agreement.	Advantages for both USAID and the recipient (when used appropriately). Milestones with fixed amounts assigned to each. Focus is on outputs and results, limits risk for both parties. Grantee is paid when USAID concurs the milestone is completed. Minimizes administrative burden on USAID and the grantee since payment is not cost-reimbursement. Assists in building institutional capacity of new grantees.	<a href="https://www.usaid.gov/ads/policy/30/303saj">https://www.usaid.gov/ads/policy/30/303saj</a>
Cooperative Agreement	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG	Recipient is free to pursue its sponsored program with USAID AOR and AO involved in defined technical areas (referred to as “substantial involvement”). Such involvement may include but is not limited to: approval of annual work plans, approval of key personnel, authority to halt a construction project, and joint collaboration and participation (defined in the award and specific to the project)	<a href="https://www.usaid.gov/ads/policy/30/303">https://www.usaid.gov/ads/policy/30/303</a>
Cooperative Agreement/	Recipient has adequate financial	Characteristics are same as above but the “continuing application” feature of this award	

<p>Grant with Continuing Application</p>	<p>and management capacity to operate on a cost-reimbursement basis with the USG and USAID will engage in multiple years/expanded program based on the success of the efforts and program during the initial year of the award.</p>	<p>(for those initial awards that are less than a 5 year period) means that implementers will “re-apply” for continuation of the program through an oral presentation of the annual report of previous years’ results and work plan for the next year. This type of award allows USAID to easily extend and expand the program since this feature is built-in. It also allows USAID to end programs that do not meet the potential or have the impact described during the Concept Paper and original Award phase.</p>	
<p>Cooperative Agreement/ Grant with Adaptive Modules</p>	<p>Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG and USAID will engage in multiple years/expanded program based on the success of the efforts and program during the initial year of the award.</p>	<p>A grant or cooperative agreement using a modular construct consists of a series of blocks of work -- modules. Each module stands alone and produces some result -- these results may be administrative or technical, they may be deliverables or simply indicators that the intervention is on the right track. The important point is that the module can be defined by when it starts and when it stops. It can be time based (six months long) or event based (when the materials are ready). Each module is unique -- the type of result, method of measure, and time or event based depends on the needs of that specific module. At the conclusion of each module is a decision point. The data, assessment, stakeholders, recipient, and USAID arrive at that decision point to determine the direction of the subsequent module. During the implementation of the module, there is a parallel assessment, learning, and design of the subsequent module going on. Module 2 is designed based on what was learned in Module 1.</p>	
<p>Grant</p>	<p>Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG and</p>	<p>A grant is a legal instrument used when the principal purpose is to transfer anything of value (i.e. money, property, or services) to a recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are appropriate when substantial</p>	<p><a href="https://www.usaid.gov/ad/policy/300/303">https://www.usaid.gov/ad/policy/300/303</a></p>

	USAID will not be “substantially involved” in selected programmatic elements.	involvement by USAID is not anticipated.	
Leader with Associates	USAID will initially engage with a “leader” partner through a prime award with language that allows a Mission or other office to make one of more separate awards to the leader award recipient without using restricted eligibility.	A Leader with Associate (LWA) award involves the issuance of a leader award that covers a specified worldwide activity. The leader award includes language that allows a Mission or other office to make one or more separate awards, called associate awards, to the leader award recipient without using restricted eligibility. The associate award must be within the terms and scope of the program description of the leader award and support a distinct local or regional activity. A leader award must be made with a program description and a budget with sufficient funds to carry out the program description in the leader award. Associate awards are then made without using fair opportunity procedures. Note: the award of an LWA as a result of this APS could only occur after the successful approval of a deviation to the ADS, which the MRC would prepare.	<a href="https://www.usaid.gov/sites/default/files/documents/1868/303.pdf">https://www.usaid.gov/sites/default/files/documents/1868/303.pdf</a>

**Award Discretion**

USAID reserves the right to make or not to make awards under Rounds of this APS. The actual number of assistance awards, if any, under Rounds of this APS is subject to the availability of funds and the interests and requirements of Missions and Bureaus/Independent Offices (B/IOs) as well as the viability of concept papers received. There is no pre-defined minimum or maximum number of partners or partnerships USAID Missions and B/IOs will support through Round(s) of this APS. However, USAID will not provide funds under any Round of this APS for products and services that would be purchased through a contract.

**C. REPORTING REQUIREMENTS**

These will be specified in the Round documents, or at the request for full application stage.

**D. PROGRAM INCOME**

Program income may be generated under awards resulting from this APS. Program income for all award(s) resulting from Rounds under this APS may be used for cost-sharing or matching in accordance with 2 CFR 200.307(e) for US NGOs and the Required as Applicable Provision “Program Income” (December 2014) in ADS 303 for non-US NGOs. If the program income is

to be utilized in a different way, the Round document will include this information. It must be used in a manner allowable under the CFR and ADS references above.

**E. INITIAL ENVIRONMENTAL EXAMINATION**

Program activities are not likely to result in any direct impact on the environment, except to the extent that they are designed to directly affect the environment such as construction of facilities, water supply systems, waste-water treatment, which are not immediately envisioned through this APS. Per 22 CFR 216.2(2)(c)(2)(i), the APS has received a categorical exclusion; however, as Rounds are added under the NPI GH APS the Missions and/or B/IOs may need to update the analysis to ensure that activities have appropriately integrated environmental factors and considerations.

**[END OF SECTION VI]**

**SECTION VII: FEDERAL AWARDING AGENCY CONTACT(S)**

**FOR THE NPI GH APS ONLY (not the Rounds):**

Charles S. "Chuck" Pope

Supervisory Contracting & Agreement Officer

M/OAA/OD/Foreign Operations

Email: [cpope@usaid.gov](mailto:cpope@usaid.gov)

**[END OF SECTION VII]**

## APPENDIX A – ABBREVIATIONS AND ACRONYMS

<b>ADS</b>	Automatic Directives System
<b>AO</b>	Agreement Officer
<b>AOR</b>	Agreement Officer’s Representative
<b>APS</b>	Annual Program Statement
<b>B/IO</b>	Bureaus/Independent Office
<b>CBO</b>	Community-based organization
<b>CFDA</b>	Catalog of Federal Domestic Assistance
<b>CFR</b>	Code of Federal Regulations
<b>CSO</b>	Civil Society Organizations
<b>EPPR</b>	Effective Partnering and Procurement Reform
<b>FAA</b>	Fixed Amount Award
<b>FAPIIS</b>	Federal Awardee Performance and Integrity Information System
<b>FBO</b>	Faith-based Organization
<b>FP</b>	Family Planning
<b>GH</b>	Global Health Bureau
<b>GHSA</b>	Global Health Security Agenda
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome
<b>IR</b>	Intermediate Result
<b>LEP</b>	Locally-Established Partner
<b>LON</b>	Local Organizations Network (TB)
<b>LWA</b>	Leader with Associate
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MCH</b>	Maternal and child health
<b>MDR-TB</b>	Multidrug-Resistant Tuberculosis
<b>MEL</b>	Monitoring, evaluation, and learning
<b>MOH</b>	Ministry of Health
<b>NGO</b>	Non-governmental organization
<b>NPI</b>	New Partnerships Initiative
<b>NUPUS</b>	Non U.S. Pre-Award Survey
<b>OAA</b>	Office of Assistance and Acquisitions
<b>OHA</b>	Office of HIV/AIDS
<b>PAD</b>	Project Appraisal Document
<b>PEPFAR</b>	President's Emergency Plan for AIDS Relief
<b>PMI</b>	President’s Malaria Initiative
<b>PMP</b>	Performance Monitoring Plan
<b>RFA</b>	Request for applications
<b>TB</b>	Tuberculosis
<b>USAID</b>	United States Agency for International Development
<b>USAID/W</b>	United States Agency for International Development / Washington

<b>USD</b>	U.S. Dollars
<b>USG</b>	United States Government
<b>WHO</b>	World Health Organization

**APPENDIX B -DEFINITIONS**

Local Entity	<p>An individual, a corporation, a non-profit organization, or another body of persons that: (1) Is legally organized under the laws of; (2) Has as its principal place of business or operations in; (3) Is majority-owned by individuals who are citizens or lawful permanent residents of; and, (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country or countries in which the organization primarily will perform this award. For purposes of this provision, “majority-owned” and “managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers, or a majority of the organization's governing body, by any means.</p>
Locally Established Partner	<p>A U.S. or international organization that works through locally-led operations and programming models. LEPs:</p> <ul style="list-style-type: none"> <li>• Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following:             <ul style="list-style-type: none"> <li>➤ Local staff should comprise at least 50% of office personnel;</li> <li>➤ Maintenance of a dedicated local office;</li> <li>➤ Registration with the appropriate local authorities;</li> <li>➤ A local bank account; and</li> <li>➤ A portfolio of locally-implemented programs.</li> </ul> </li> <li>• Have demonstrated links to the local community, including:             <ul style="list-style-type: none"> <li>➤ If the organization has a governing body or board of directors, then it must include a majority of local citizens;</li> <li>➤ A letter of support from a local organization to attest to its work; and</li> <li>➤ Other criteria that an organization proposes to demonstrate its local roots. (ADS 201, 303)</li> </ul> </li> </ul>
Non-Local Entity/Established Partner	<p>A partner that does not meet the definition of a Local or Regional Entity as defined by USAID’s Automated Directives System (ADS) Chapter 303.</p>

New Partner	An organization that has never received direct or indirect awards from USAID.
Leverage	Significant resources mobilized from non-U.S. Government sources. USAID seeks the mobilization of resources of other actors on a 1:2 or greater basis (i.e., 50 percent of the proposed value of the award). Leveraged resources may include grants/awards from non-U.S. Government organizations and other donor governments.
Cooperative Agreement	A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is anticipated.
Grant	A legal instrument used when the principal purpose is the transfer of money, property, services, or anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute, and in which substantial involvement by USAID is not anticipated.
Partner	An organization or individual with which/whom the Agency collaborates to achieve mutually agreed-upon objectives, and to secure the participation of ultimate customers or beneficiaries. Partners include but are not limited to private voluntary organizations, indigenous and international non-governmental organizations (NGOs), universities, professional and business associations, and private businesses and individuals. For specific eligibility criteria for partners under this APS, see Section III: Eligibility Information.
Partnership	An association between USAID, its partners, and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed-upon objectives.
Sub-award	An award provided by a pass-through entity to a sub-recipient for the sub-recipient to carry out part of a Federal award received by

	<p>the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A sub-award may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. (2 CFR 200)</p>
<p>Underutilized Partner</p>	<p>An organization that has received less than \$25 million in direct or indirect awards from USAID over the past five (5) years.</p>

**APPENDIX C - USAID GLOBAL HEALTH PRIORITY COUNTRIES BY HEALTH SECTOR (as of 5/1/2019)**

	HIV/AIDS	TB	Global Health Security Agenda (GHSA)	Malaria (PMI)	Maternal & Child Health (MCH)	Family Planning & Reproductive Health	Nutrition
Afghanistan					X	X	
Angola	X			X			
Bangladesh		X	X		X	X	X
Benin				X			
Botswana	X						
Burkina Faso			X	X			
Burma		X		X	X		
Burundi	X						
Cambodia		X		X			
Cameroon	X		X	X			
Cote D'Ivoire	X		X	X			
Dominican Republic	X						
DC Congo	X	X	X	X	X	X	
Ethiopia	X	X	X	X	X	X	X
Ghana				X	X	X	X
Guatemala							X
Guinea			X	X			
Haiti	X				X	X	X
Honduras							
India		X	X		X	X	
Indonesia		X	X		X		
Kenya	X	X	X	X	X	X	X
Kyrgyz Republic		X					
Lesotho	X				X		
Liberia			X	X	X	X	
Madagascar				X	X	X	
Malawi	X	X		X	X	X	X
Mali			X	X	X	X	X
Mozambique	X	X		X	X	X	X
Namibia	X						
Nepal					X	X	X
Niger				X	X	X	X
Nigeria	X	X		X	X	X	X
Pakistan		X			X	X	
Philippines		X				X	
Rwanda	X			X	X	X	X
Senegal			X	X	X	X	X
Sierra Leone			X	X			X
South Africa	X	X					
South Sudan	X				X	X	
eSwatini	X						
Tajikistan		X					
Tanzania	X	X	X	X	X	X	X
Uganda	X	X	X	X	X	X	X

Ukraine	X	X					
Uzbekistan		X					
Vietnam	X	X	X				
Yemen					X	X	
Zambia	X	X		X	X	X	X
Zimbabwe	X	X		X			