



USAID
FROM THE AMERICAN PEOPLE

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Subject: The American Schools and Hospitals Abroad (ASHA) Initiative Worldwide Request for Applications for Fiscal Year 2024 (Solicitation No. 7201P124R00001)

Program Title: American Schools and Hospitals Abroad (ASHA) Initiative

Catalog of Federal Domestic Assistance (CFDA) Number: 98.006

TO WHOM IT MAY CONCERN:

The United States Agency for International Development (USAID) is seeking applications for cooperative agreements and grants from qualified entities to implement the American Schools and Hospitals Abroad (ASHA) Program. The ASHA Program is now being implemented as the ASHA Initiative, part of the Bureau for Inclusive Growth, Partnerships, and Innovation (IPI), Local, Faith and Transformative Partnerships (LFT) Hub. The mission of the American Schools and Hospitals Abroad (ASHA) Initiative is rooted in an early vision of U.S. public diplomacy as codified in the United States (U.S.) Information and Educational Exchange Act of 1948 (“Smith-Mundt Act of 1948”). The main objective for ASHA’s programming is “to promote a better understanding of the United States in other countries, and to increase mutual understanding between the people of the United States and the people of other countries” (Sec. 2, Smith-Mundt Act of 1948). ASHA was created as, and remains, a public diplomacy program that furthers development outcomes, and that proposed projects should link their activities to public diplomacy outcomes and to U.S. Government (USG) policy goals as articulated in this Request for Application (RFA).

USAID intends to make multiple awards as a result of this Fiscal Year 2024 (FY 2024) RFA. Individual awards will be made to those Applicants who best meet the objectives of this funding opportunity based on a review against the merit review criteria described herein, and subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of program sought, application submission requirements, and selection process.

Please note: RFA requirements change from year-to-year and should be properly addressed in the application. Applicants must provide complete information about their organization for the Merit Review Committee’s (MRC) consideration. Do not assume that MRC members have any prior knowledge of your organization, work history, or mission. MRC members must rely exclusively on information provided in your Application to this RFA. MRC members are strictly

prohibited from considering any information, including personal and professional knowledge or your organization and its past activities, when reviewing applications.

Organizations new to USAID¹, as well as those that have previously received awards from USAID, and minority serving² institutions, such as Historically Black Colleges and Universities (HBCUs), are encouraged to apply³.

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

USAID will not award to an Applicant unless the Applicant has complied with all applicable unique entity identifier (UEI) and System for Award Management (SAM) requirements detailed in Section D.5.B.3. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Please send any questions to the point of contact identified in Section D.1. The deadline for questions is shown above on the cover page. Responses to questions received prior to the deadline will be furnished to all potential Applicants through an amendment to this notice posted to www.grants.gov.

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

Thank you for your interest in USAID programs.

Sincerely,

Raymond Jennings
Acting ASHA Partnership Initiative Senior Leader

¹ <https://www.usaid.gov/npj>

² WorkwithUSAID.org

³ <https://www.usaid.gov/work-usaid/how-to-work-with-usaid>

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SECTION A: PROGRAM DESCRIPTION

This Request for Application (RFA) is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting awards will be subject to the mandatory standard provisions as well as 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.

1. Funding Priorities and Programmatic Focus

ASHA contributes to U.S. foreign policy interests by funding institutions that foster a positive image of the United States around the world. ASHA’s mandate, which is distinct from other development programs within USAID, is to focus on public diplomacy and sharing American values, ideas, technologies, and practices to increase mutual understanding and promote locally led development. ASHA’s program is a critical component of the USG’s public diplomacy efforts, which aim to further U.S. foreign policy goals and objectives, advance national interests, and enhance national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and Government of the United States and citizens of the rest of the world.⁴

ASHA provides assistance to overseas schools, libraries, hospital centers⁵, and centers of excellence⁶ (see section C.1) to highlight American ideas and practices, to provide concrete illustrations of the generosity of the American people, to further USG public diplomacy, and to catalyze collaboration between U.S. citizens and citizens of other countries.

ASHA awards grants and cooperative agreements to existing partnerships between U.S. not-for-profit non-governmental organizations (referred to as “U.S. Organizations,” or “USOs”) and institutions overseas founded or sponsored by United States citizens (referred to as “Overseas Institutions,” or “OSIs”). These partnerships enable OSIs to benefit from the expertise and experience of USOs while ensuring projects are locally owned and sustained. These partnerships help mitigate investment and construction risk, and contribute to sustained returns. For additional information on which partnerships are eligible to apply for ASHA funding, see Section C: Eligibility Information.

This RFA is a worldwide solicitation. USAID may make awards for projects in any country other than the United States, provided that USAID activities in that country are not otherwise restricted by statute, regulation, or Agency policy.

⁴ [State Department Bureau of Global Public Affairs](#) and [USG Integrated Country Strategies](#)

⁵ Hospital centers are institutions where medical education and research occur in addition to medical treatment, Sec. 214(b) of the FAA.

⁶ A Center of Excellence is an institution that can demonstrate that it builds new knowledge, fosters collaboration, advances learning and understanding on issues of importance to the U.S., and models American best practices (ABP) and values. A Center of Excellence’s main objective is the dissemination of information and knowledge as opposed to conferring a degree or providing medical services. See **Section C: Eligibility Information** for an expanded definition.

ASHA's Strategic Vision addresses the following goals:

(1) Promotes [public diplomacy](#)⁷ by using a targeted approach of increased awareness, positive attitude shift, and/or positive behavioral change by implementing American ideas, values and best practices to create mutual understanding.

(2) Aligns with 6 components of the USAID policy framework 2023:

(1.b) Help countries withstand the effects of a changing climate and secure a net-zero future;

(1.c) Stem the tide of authoritarianism, counter corruption, fight digital repression and foreign disinformation, and spur democratic renewal;

(1.d) Bolster health security, improve primary care, and reverse the decline in global life expectancy; and

(1.e) Address economic headwinds and promote inclusive economic growth

(2. a) Elevate the practice of development diplomacy;

(2. c) Significantly expand our support for locally led development.

(3) Aligns with cross-cutting Agency priorities of Gender Equity and Inclusion⁸; Science, Technology, Innovation and Partnerships; Localization⁹; Diversity, Equity, and Inclusion¹⁰ especially regarding religious¹¹ and ethnic minorities and other underserved communities; Climate Change; and Private Sector Engagement.

(4) Aligns with two components of the vision outlined in the U.S. State Department–USAID Joint Strategic Plan (2022-2026):

a. (Goal 1.5): “Renew U.S. leadership and mobilize coalitions to address the global challenges that have the greatest impact on Americans’ security and well-being” supporting objective “1.5: Enhance foreign publics’ understanding of and support for the values and policies of the United States.”

b. (Goal 3.5): “Strengthen democratic institutions, uphold universal values, and promote human dignity” supporting objective 3.5: “Improve inclusive and equitable health, education, and livelihood services, especially for women, youth, and marginalized groups.”

⁷ <https://drive.google.com/file/d/1XChXzQgcwXv7roalf2uhDmaGhrFU6rDq/view?usp=sharing>

⁸ Please see the White House National Strategy on Gender Equity and Equality found here: <https://www.whitehouse.gov/wp-content/uploads/2021/10/National-Strategy-on-Gender-Equity-and-Equality.pdf>.

⁹ <https://www.usaid.gov/localization>

¹⁰ See Executive Order 13985 and <https://www.usaid.gov/who-we-are/diversity-equity-inclusion>

¹¹ <https://www.usaid.gov/local-faith-and-transformative-partnerships/local-works>

ASHA's Public Diplomacy Program Mandate

Applicants must clearly show how their project will promote a better understanding of the U.S. in their OSI country and increase mutual understanding between the people of the U.S. and the people of their OSI country.

Public diplomacy, within ASHA's context, is achieved by using American values, ideas and/or best practices as a tool to promote mutual understanding with the U.S. American values, ideas and/or best practices have been shortened to American Best Practices (ABPs) for ease of use. The ABPs selected by the Applicant must be defined and justified by the Applicant in the Phase 1 application. ABPs do not have to be unique to the U.S.; rather, they are values, ideas, or best practices that are broadly held dear by the people of the U.S., and are oftentimes **shared** by both the target audience and the people of the U.S. ABPs may include, but are not limited to, the following: inclusion, tolerance, diversity, democratic participation, gender equality, meritocracy, technologies, pedagogies, approaches, resilient construction, various risk reductions, sustainable energy, and environmental resilience. This list is non-exhaustive, and Applicants are encouraged to make a case for ABPs that they believe are of value and promoted by their OSI.

As is illustrated in the ASHA's results framework below, ASHA's most ambitious and mandated goal is to foster mutual understanding between the people of the United States and the people of foreign countries.



ASHA developed a results framework to translate its public diplomacy mandate into measurable results, through two Intermediate Results (IRs):

- IR1.1 - American best practices showcased within Partner institution
- IR1.2 - Best practices understood as American within the broader community.

ASHA further developed ASHA's Intermediate Results (IRs) into program requirements to show how public diplomacy is used to:

- improve organizational performance “within the walls of the institution”; and,
- increase awareness of American best practices “beyond the walls of the institution.” 2

ASHA measures the IRs through the following indicators:

- ASHA PD Custom 1 - Number of American best practices implemented with the intent to improve organizational performance
- ASHA PD Custom 2 - Number of individuals made aware of American best practices by partner institutions

In public diplomacy, there are generally three types of measurable outcomes from any undertaken initiative or activity. The possible outcomes for ASHA are:

1. An increase in **awareness** of values, ideas, or practices that are considered American/shared, that support a favorable view of the U.S.;
2. **Positive shift in attitudes** toward the U.S. attributable to the implemented values, ideas, or practices that are considered American/shared; and/or,
3. A positive action or set of actions carried out as a result of the positive shift in attitude toward the U.S. attributable to the implemented values, ideas, or practices that are considered American/shared, either as **positive behavior change(s)** or a change(s) in the frequency of the positive behavior.

In many cases, the three types of outcomes are complementary. Within this RFA, the Applicant is not required to address all three types of public diplomacy outcomes; however, as a minimum requirement, the application must address how, at least, one type of outcome will be accomplished.

In order to accomplish the public diplomacy objectives for ASHA, it is imperative that the communication strategy for each ABP be communicated as American and/or shown to be practices that are shared with Americans by the OSI. The OSI must also demonstrate **action(s) they are undertaking to ensure ABPs are understood by the target audience to either be American and/or shared with Americans.** An effective communication strategy assists the Applicant in meeting ASHA's public diplomacy requirements.

For additional information please refer to [public diplomacy \(ASHA's Mandate\)](#)¹² and partner meeting presentations of [effective public diplomacy](#).¹³

2. Authorizing Legislation

ASHA provides assistance to overseas schools, libraries, hospital centers, and centers of excellence founded or sponsored by U.S. citizens as authorized in [Section 214 of the Foreign Assistance Act \(FAA\) of 1961](#), as amended. ASHA builds bridges of cooperation between the people of foreign nations and the people of the United States by providing funds to schools, libraries, hospital centers, and centers of excellence overseas that demonstrate the ideas, innovations, and best practices of the United States in health and education. ASHA directly

¹² <https://drive.google.com/file/d/1XChXzQgcwXv7roalf2uhDmaGhrFU6rDq/view?usp=sharing>

¹³ ASHA's effective public diplomacy presentation recording:
https://drive.google.com/file/d/1nftMKu1xR2nwOHcOFiXCSNWbgD84PU1_/view?usp=sharing
ASHA's custom indicators:
<https://drive.google.com/file/d/1i5xVc-BCd4JaQdTp84fNxP9FEdPkXIHw/view?usp=sharing>

contributes to U.S. foreign policy and public diplomacy objectives by fostering partnerships and promoting the best practices in health and education.

3. Program History

ASHA's roots are in foreign public engagement led by private U.S. citizens throughout American history. These roots are reflected in ASHA's focus today on strengthening private institutions overseas that are founded or sponsored by U.S. citizens. Foreign public engagement by the non-profit U.S. private sector is a central component of America's diplomacy—that is, communicating ideas, sharing our diverse and historic national experiences, and engaging foreign communities through collaboration and exchange.

Since its inception, ASHA has achieved a visible legacy by providing assistance to over 350 OSI institutions globally and aiding in the development of innovative and state-of-the-art schools, hospitals, and libraries in more than 120 countries. ASHA's record of contributing to and building bridges with vibrant networks of civil society institutions extends through 25 U.S. Congresses and 18 presidential administrations. ASHA currently manages a worldwide portfolio of over 145 awards and is an invaluable complement to USAID's wide-ranging development work.

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability and at the discretion of the Agency, USAID/IPI/LFT/ASHA intends to provide approximately \$28,500,000 U.S. dollars (USD) in total USAID funding and issue multiple awards as a result of this FY 2024 RFA. The maximum amount for an individual award is \$2,000,000 USD, and there is no minimum award amount. Individual funding levels will depend on the substance and quality of applications, the number of applications received, and the availability of ASHA funding.

Applications requesting more than \$2,000,000 USD for a single OSI, will be excluded from consideration. Each USO is limited to receiving a total of two awards. ASHA generally awards between 20 to 30 cooperative agreements and/or grants each year. USAID reserves the right to make an award under this RFA by incorporating it into an Applicant's existing ASHA award through a modification.

2. Start Date and Period of Performance for Federal Awards

USAID expects to make awards in the Fiscal Year 2024 (FY 2024) subject to the availability of funds. Awards for applications that include only durable commodities will have an initial period of performance of no more than two years from the start date of the award. Awards for applications that include construction or renovation will have an initial period of performance of no more than four years from the start date of the award. Awards for applications that include a

combination of commodities and construction/renovation will have an initial period of performance of no more than four years from the start date of the award.

Construction or renovation is defined in [Automated Directives System \(ADS\) 303maw](#)¹⁴ as follows:

- “Construction” for purposes of this policy 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.
- “Improvements, renovation, alteration and refurbishment” for purposes of this policy includes any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems.
- “Improvements, renovation, alteration and refurbishment” does **not** include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.).

“Durable commodities” is a category of tangible (physical) products with a significant lifespan that generally lasts three years or longer.

3. Substantial Involvement

Under this RFA, USAID will award both grants and cooperative agreements. A cooperative agreement allows USAID to have substantial involvement in project implementation.

“Substantial involvement” is further defined in [ADS 303.3.11](#)¹⁵.

A grant will generally be issued for projects that include only durable commodity procurement activities, and cooperative agreements for projects that include any construction and/or renovation activities¹⁶. To complement USAID/ASHA's investment, applicants may leverage funding from other sources to fund either commodities and/or construction/renovations. USAID/ASHA will issue either a grant (commodities) or cooperative agreement (construction/renovation or construction/renovation with commodities) based on the intended use of USAID/ASHA funds. The nature of ASHA's substantial involvement varies based on the nature of the project and will be determined for each award. In general, substantial involvement includes:

¹⁴ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303maw>

¹⁵ <https://www.usaid.gov/about-us/agency-policy/series-300/303>

¹⁶ Please note that an application for commodity items that require installation (e.g., being structurally connected to an existing building) or may require evaluation of the existing construction and its ability to support new total loads (such as electrical, dead loads, snow loads, winds, seismic stressors) is considered a construction project, not a commodities project. An example of this would be solar panels being permanently affixed to a building. **If such an application is submitted as a ‘commodities only’ project, it will not be considered for evaluation.**

1. Review and approval of the Recipient’s Implementation Plan¹⁷—The Implementation Plan will cover the following areas:

- Summary of competitive procurement process for Architectural & Engineering (A&E) and Construction firms;
- Timeline and plan for all mandatory ASHA approval milestones for monitoring & evaluation, construction/renovation requirements including environmental and final construction documents;
- Description of planned capital investment warranties, such as bid bonds, performance bonds, retainage, etc.;
- Construction Schedule (Gantt chart);
- Organizational Chart or Staffing Plan; and
- Timeline and plan for Operations & Maintenance (O&M).

2. Approval of Key Personnel — the USO Project Manager, OSI Project Manager, and Construction Manager.

3. Agency and Recipient Collaboration or Joint Participation — USAID concurrence with proposed architectural and engineering (A&E) firm.

4. Agency Authority to Immediately Halt a Construction Activity — The Agreement Officer (AO) may immediately halt the construction activity if specifications, as identified in the design documents, are not met. The AO may also immediately halt construction if there are serious concerns about health, safety, environment, or work quality, as recommended by the Agreement Officer’s Representative (AOR) or the USAID Engineer in consultation with the AOR.

4. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient (which may be referred to exclusively as the “USO”) and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the USAID ASHA program, which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

¹⁷ USAID approval of the Implementation Plan merely constitutes an acknowledgment of the completion of the deliverable, not a technical validation/endorsement of the Recipient’s design/construction decisions. USAID does not take responsibility for the quality of design/construction. In the event of any issues with the design or construction, USAID will hold the Recipient liable.

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applications: Instructions

Applicants must meet the following eligibility criteria:

1. Applicants must be U.S. not-for-profit non-governmental organizations (NGOs) including U.S. public colleges and universities (e.g. “NGOs,” foundations, and similar). ASHA will not accept applications from individuals, for-profit, or foreign entities.
2. Each application must clearly identify **only one USO** (the Applicant) and **only one OSI** partner (the Applicant’s sub-awardee). Please also note:
 - One USO Applicant may submit an application that requests funds to benefit multiple organizational units within a single OSI.
 - One USO may submit separate applications for a maximum of two OSIs.
 - One USO may not receive more than two awards.
 - In cases where the USO and the OSI share the same name, the Applicant must indicate in the Eligibility Checklist form whether they are the “same entity.” If the Applicant answers “Yes” to “same entity,” the Applicant must provide proof with the Phase 2 Technical Application (not Phase 1) that it is registered as a legal entity in the U.S. and that it is authorized to operate in the foreign country. The following types of documentation would be acceptable proof:
 - 1) letter of accreditation,
 - 2) written statement from the Government on Government letterhead acknowledging the entity, or
 - 3) the entity’s documentation showing a government stamp.

For OSIs operating in contexts where submission of proof is not possible, please provide a separate explanation in the form provided.

3. Each OSI may be included in only one application under this RFA. In other words, multiple USOs cannot submit separate applications for the same OSI, and one USO cannot submit multiple applications for the same OSI.
- OSIs must be founded or sponsored by U.S. citizens. A USO must have a continuing and successful supportive formal relationship with its partner OSI of **at least two years**. “Sponsored” means a continuing relationship that **MUST** include significant financial support from the USO; and may include technical support, joint ventures, exchange programs, volunteer placement programs, faculty exchanges, fundraising, and in-kind contributions. **Partnerships and mutual collaborations alone are insufficient.**

- USOs must have current registration and no active exclusions or delinquent federal debt in the USG’s System for Award Management (SAM). USOs must maintain their active SAM registration with current information while their application is under consideration and, if successful, during the life of the award. (USOs must submit verification of status in SAM in the Phase 1 Application¹⁸.)
- USOs and OSIs must submit independently audited financial statements performed by an accredited independent audit firm for a recent operating year from 2022 or later. (See Annex 4, Mandatory Attachments M1/M2 for the complete requirements concerning audits.)
- USOs and OSIs must not discriminate against any beneficiaries in the implementation of the award, including, but not limited to, withholding, adversely impacting, or denying equitable access to the benefits provided through this award on the basis of any factor not expressly stated in the award. This covers, for example, race, color, religion, sex, national origin, disability, age, sexual orientation, gender identity, pregnancy, genetic information, marital status, parental status, political affiliation, and veteran status.
- The OSI—even if it is the “same entity” as the USO—must be located outside the U.S.¹⁹
- Government Control
 - OSIs must NOT be under the control or management of a foreign government or its agencies, including local, regional, or national governments. Foreign government in this context is any government, other than the U.S. government, including the host country's government. This means a majority of the members of the Board of Directors of the OSI must not be government employees or foreign government appointees must not own a majority interest in the OSI. Financial or other assistance from a government or government agency or observance of national educational or medical standards does not mean the institution is under the control or management of a foreign government.
 - A foreign government institution must NOT be the the final recipient of items procured with ASHA funds.
- OSIs must meet the following eligibility requirements:
 - For applications involving “schools”: The OSI must provide English language instruction or use English as the language of instruction in at least one course, must provide post-secondary education or secondary education that serves students at the equivalent of a U.S.

¹⁸ Note: Applicants must also provide a valid Unique Entity Identifier (UEI) in the application as stated in Section D.5.B.3.

¹⁹ When the USO and OSI are separate entities, then the OSI headquarters must be located outside the United States.

sixth grade level or higher²⁰ and model American best practices and values;

- For applications involving “**hospital**²¹ centers”: The OSI must provide medical education and/or conduct medical research and model American best practices and values;
 - For applications involving “**libraries**”: The OSI must demonstrate that it promotes English language and literature, builds knowledge, advances learning, and models American best practices and values;
 - For applications involving “**Centers of Excellence**”: The OSI must demonstrate that it builds knowledge, fosters collaboration and advances learning, and models American best practices and values. A Center of Excellence will disseminate knowledge through research, publication, professional training, or interactive platforms and is not required to offer educational degrees or medical services.
- If the project involves construction or renovation activities, the USO or OSI must submit an official certified copy of a title, lease, or similar official documentation that proves the rights over the land, recognized within the country where implementation will take place, as well as an English translation *if the official copy is not in English*. This documentation must be submitted with the **Phase 2 Technical Application**. The official documentation must demonstrate a legal right to the land (to build, renovate, retrofit according to current building codes) for a period of at least 20 years from the date of the application. Although applicants with a legal right to the land of 20 years or more will be given a higher preference, USAID is willing to consider applications that include a title, lease, or similar official documentation covering a shorter period of time. **If an English-language copy of the title or lease is not submitted with the Phase 2 Technical Application, the proposed application will be ineligible for further consideration.**

2. Cost Share or Match vs. Leverage

Cost share or "match" refers to the resources a Recipient contributes to the total cost of an agreement. It becomes a condition of an award when it is included in the approved award budget. It is verifiable from the Recipient's records, and it **can** be audited. Cost share includes all cash and in-kind contributions from the recipient or third parties. Applicants may choose to include cost share in their applications; however, **recipient cost share is not required for ASHA awards.**

“Leverage” refers to new, non-public resources—whether money, technologies, or expertise—brought by a third party such as the private sector and other non-traditional USAID partners to a partnership. Because leveraged resources are not cost share, they do not become a part of the award budget and are not subject to audit. Applicants who choose to include

²⁰ The project proposed in the application must focus on secondary education or higher-level activities.

²¹ Hospitals also include Medical Centers.

funds from other sources may include those as leveraged funds in their applications; **leverage is recommended but not required for ASHA awards²².**

If Applicants choose to include either cost share or leveraged funds, they must ensure that those funds are clearly identified in the Budget tables in Annex 3.

3. Other

Applications to support efforts to combat HIV/AIDS, tuberculosis, and malaria in countries where USAID has a Mission or other office will not be considered eligible given the availability of other international, national, and USG resources available to combat these diseases.

Per Agency policy, all ASHA awards are contingent on the concurrence of the USAID Mission for the country where the award will be implemented²³. Applications that do not receive Mission concurrence will not be eligible for funding. Missions may withhold concurrence based on security risk (e.g., for projects in high-threat or non-permissive environments) or other factors. (See [ADS 201.3.4.3](#)²⁴.) In recent years, countries including Jordan, Egypt, Iraq, and Sudan have withheld concurrence for various reasons. Applicants may wish to confer with these respective Missions before submitting an application.

For construction and other capital assistance projects estimated to cost in excess of \$1 million USD that require a certification by USAID in accordance with Section 611(e) of the FAA, [additional information](#) or requirements may be requested of Recipients.

ASHA may make awards for projects in any country other than the U.S., provided USAID activities in that country are not otherwise restricted by statute, regulation, or Agency policy.

All awards are subject to USAID's pre-award terms found in [ADS 303mba](#)²⁵. See Section G for the complete pre-award terms.

1. Branding Strategy – Assistance
2. Marking Plan – Assistance
3. Conscience Clause Implementation (Assistance)
4. Conflict of Interest Pre-Award Term

For additional Funding Restrictions, please see Section D.5.B.5.

²² Leveraged funds are used to complement ASHA's investment and help ensure project success. Developing and sharing a plan to secure non-ASHA funding to complement the USG's investment of ASHA funds helps ensure project sustainability and long-term success.

²³ ASHA will request concurrence from Missions for apparently successful Phase 1 Applications. Applicants should not request concurrence from USAID Missions. Feel free to contact us at ASHAApplications@usaid.gov if you have questions concerning specific countries.

²⁴ https://www.usaid.gov/sites/default/files/2023-05/201_1.pdf#page=57

²⁵ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303mba>

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Mr. Raymond Jennings
U.S. Agency for International Development
Ronald Reagan Building, 5.10
1300 Pennsylvania Avenue, NW
Washington, D.C. 20523
ASHAApplications@usaid.gov

All questions and inquiries in reference to this solicitation should be directed to the Agency Point of Contact above.

2. Questions and Answers

Questions regarding this RFA should be submitted via email to ASHAApplications@usaid.gov no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective Applicant concerning this RFA will be furnished promptly to all other prospective Applicants as an amendment to this RFA on [grants.gov](https://www.grants.gov), if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant. While ASHA is available to respond to administrative questions, ASHA will not respond to technical questions about the RFA outside of this specific Q&A period.

3. General Submission Procedures

This subsection covers general content requirements and subsections four and five cover content specific to the Technical and Business (Cost) applications. The Technical Applications must address technical aspects only and must not include any cost information; the Business (Cost) Application must present costs and address risk and other related issues.

Applicants must **ensure their application responds to the current requirements, instructions, and templates provided in this RFA.** Applicants must submit complete information about their organization and must not assume reviewers have prior knowledge of their organization, work history, or mission.

Preparation and Format of Applications:

Applications must be submitted in three separate **Google Form** submissions:

1. Phase 1 Technical Application
2. Phase 2 Technical Application (by invitation only)
3. Phase 2 Business (Cost) Application (by invitation only)

Applicants can refer to the ASHA Google Form Application Guidance (in the Related Documents tab of the FY 2024 RFA on [grants.gov](https://www.grants.gov)) on how to complete forms. For technical questions on the Google Form, please email ASHAApplications@usaid.gov.

The timestamp generated by USAID's system will determine if the application deadline was met and applicants must account for delays in electronic transmission. All applications will receive an email confirmation of receipt. **Late or incomplete applications will not be reviewed or considered.**

After Applicants submit an application via the Google Form, they will receive email confirmation that the Google Form was submitted, which will be ASHA's official confirmation of receipt. If Applicants find errors in their Application, they can use the link sent in the confirmation email to edit their response before the submission due date and time.

Applicants are discouraged from sending files in *zip format because such files may be blocked by anti-virus software on the internet server. File upload size limits will be noted in the Google Form.

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

If Applicants submit a cover letter, then it will serve only as a transmittal letter to the Agreement Officer and will not be included in the review of the application.

Applications must comply with the following:

- Applications must be submitted using the three separate Google Form submissions.
- Applications must strictly adhere to stated page limits. USAID will not review pages in excess of page limits.
- Application documents must be in English or have an English translation.
- Applications must be on standard 8 ½" x 11", single sided, single-spaced, 11 point Calibri font, 1" margins, left justification and headers and/or footers on each page, including consecutive page numbers, date of submission, and Applicant's name.
- Tables must use 11 point font; graphs and charts can use 10 point font. The Monitoring and Evaluation section "Indicator Summary Table" in the Phase 2 Application can use 9 point font.
- Documents submitted with the Google Form as uploaded files must be in Microsoft Word or searchable PDF formats, except budget files, which must be submitted in Microsoft Excel format.
- The budget Excel spreadsheet submitted with the Google Form must have all cells unlocked and no hidden formulas or sheets.
- The estimated period of performance identified in Section B of this RFA must be used in the cost application.

Applicants should retain a copy of the application and all enclosures for their records.

4. Technical Applications

The Technical Application process is in two (2) phases:

- 1) Phase 1 and
- 2) Phase 2 (by invitation only).

The table below outlines the phased approach of the **FY 2024 Application Process**.

Phase	Submission	Attachments	Page Limits*
Phase 1	Phase 1 Technical Application	No	3 pages
Phase 2	Phase 2 Technical Application	Yes: See Annex 5	Commodities only - 13 pages Construction/Reno only - 15 pages Commodities+Construction - 18 pages
	Business (Cost) Application	Yes: See Annex 5	N/A

**Page Limits: Attachments do not count against the page limits. Attachments serve as supporting documentation and substantive information should not be placed in Attachments.*

The Technical Application must be specific, complete, and concise. It must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The Application should take into account the requirements of the program and merit review criteria for each Phase in Section E of this RFA.

A) Phase 1 Technical Application Format and Submission

Phase 1 Technical Application Google Form: <https://forms.gle/7kokgnRejw57kggA7>

(The Google Form will be open to collect Phase 1 application submissions once the official RFA is posted to grants.gov.)

Applicants must submit a Phase 1 Technical Application using the ASHA **Google Form**, which includes an upload of the **Annex 1** template. Phase 1 submissions will be reviewed by a Merit Review Committee (MRC) against the Phase 1 merit review criteria in Section E. The Phase 1 submission format is as follows (See Annex 1 for Phase 1 Technical Application Template):

1. Use the **Google Form** for submission.
2. **Applicant information** - Respond in Google Form.
3. **Eligibility Checklist:** Applicants must confirm compliance with all eligibility requirements identified in Section C.1: Eligibility Information - Respond in Google Form.
4. (Optional) **Upload a photo or sketch** related to the project.

5. **Must upload a screenshot of SAM registration** status.
6. **Upload response** to the Phase 1 Merit Review Criterion - Public Diplomacy (see Section E.2.A), **no more than three (3) pages**; see **Annex 1** for template.

No other information should be included with the Phase 1 Technical Application. Information that does not adhere to the requirements of Phase 1 will not be considered during the merit review.

Phase 1 Technical Applications must be submitted **no later than the date and time specified on the cover sheet/page of this RFA.**

B) Phase 2 Technical Application Format and Submission

Phase 2 Technical Application is **by USAID invitation only**. Invited Applicants must submit the Phase 2 Technical Application and Business (Cost) Application proposal through an ASHA-prescribed Google Form, for which ASHA will provide a link in the Request for Phase 2 Application invitation letter. The deadline to submit the Phase 2 Technical Application will be sent in the invitation letter. Phase 2 submissions will be reviewed by a Merit Review Committee (MRC) against the Phase 2 Merit Review criteria in Section E. **An invitation to submit a Phase 2 Application does not guarantee issuance of an award.**

All documents uploaded through the Google Form must be clearly labeled as shown in **Annex 5**.

The Phase 2 Application submission format is as follows (See Annex 2 for Phase 2 Technical Application Template):

1. Use the **Google Form** for submission.
2. **Applicant Information** - Respond in Google Form.
3. **Upload Phase 2 Technical Application**
 - a. **Table of Contents** (1 page).
 - b. **Management Approach - Annex 2** (no more than 5 pages). The Management Approach must address the following elements:
 - i. **Operational Approach**. The applicant must describe an operational approach, including the management structure, staffing, roles and responsibilities, which clearly demonstrates and rationalizes the applicant's plan for the execution of the commodities and/or construction/renovation project as well as the technical (health, education, center of excellence) activities linked to the project's public diplomacy outcomes. Applicants are advised to limit history of the

organization or how the project fits into the broader country context to one (1) brief paragraph.

- ii. **Sustainability and OSI Strengthening Approach.** Applicants must describe their approach to OSI strengthening, clearly demonstrating how the proposed project will contribute to the OSI's sustainability, including clear identification of sources of future funding.
 - iii. **Monitoring and Evaluation (M&E) Approach.** Applicants must describe their approach to monitoring and evaluation, including staffing and roles and responsibilities, which clearly demonstrates a logical, thorough, and efficient plan that follows the ASHA-prescribed content and templates in Annex 2.
- c. **Construction/Renovation and/or Commodities and Environmental Capability Information - Annex 2** (no more than **4** pages for Commodities only, **6** pages for Construction/Renovation only, or **9** pages for an approach that includes both commodities and construction/renovation²⁶, and **3** pages for environmental capability).
- i. For the **Construction/Renovation Information** (if applicable), (no more than **6** pages²⁶), Applicant must address the following elements:
 - A. **Construction Approach/Justification** - Describe the construction/renovation activity, including how it contributes to the public diplomacy and development outcomes of the project. If the activity is a part of a larger project, the Applicant must include a brief description of the larger project and explain how the ASHA-funded project fits within the larger project. Applicants must ensure that the narrative description aligns with MA1-Conceptual Construction Drawings.
 - B. **Construction Management** - Describe the construction/renovation management approach, including the roles/responsibilities of the management team, A&E firm and construction manager (MA4-Construction Manager Resume). (This should not repeat the overall management approach; but supplement it with Construction/Renovation-specific management plans, staffing, roles, and responsibilities.)

²⁶ If submitting for Commodity Only, then 4 pages are allowed. If submitting for Construction/Renovation Only, then 6 pages are allowed. If submitting for both Commodity and Construction/Renovation, then 9 pages total (6 pages for Construction/Renovation plus 3 pages for Commodity) are allowed.

- C. **Drawings/Codes** - Describe the structural, electrical, and mechanical elements of the design, citing the appropriate design codes which align with MA1-Conceptual Construction Drawings.
 - D. **ADA** - Describe the approach for maximizing activity compliance with the Americans with Disabilities Act (ADA).
 - E. **Site Feasibility** - Describe Site Feasibility (e.g. general topography of the site, existing civil infrastructure -such as roads, electric power, potable water and wastewater disposal systems, and any constraints requiring special design consideration, such as seismic design, flooding, etc.) Applicants should include any required host country approvals, local agreements and Land Use Rights (MA3) as well as jurisdictional constraints (e.g. related to local utilities, site restrictions, permits).
 - F. **GPS Coordinates** - Provide GPS Coordinates (e.g. Latitude & Longitude of the proposed site including unit of measure of the proposed construction/renovation and description/photos of the proposed site. GPS coordinates must match MA1-Conceptual Construction Drawings.
 - G. **Quality Management/Assurance** - Provide detailed plans for Quality Management of the A&E and construction supervision including roles for Quality Control and Quality Assurance.
 - H. **Construction Operations and Maintenance** - Provide a clear and complete description of the plan for operations and maintenance (O&M), including a description of the funding source(s) and identification of qualified personnel who will operate and maintain the construction/renovation activity.
 - I. Applicants must ensure that all construction/renovation narratives align with MA2-Implementation Plan.
- ii. For the **Durable Commodities Information** (if applicable), (no more than 4 pages²⁶), Applicants must address the following elements:
- A. **Commodities Approach/Justification** -Identify and justify durable commodities that directly contribute to the goals and objectives of the project, including public diplomacy and developmental outcomes. Describe the commodities management approach, including the roles/responsibilities of the management team and the procurement process for the commodities. (This should not repeat the overall management approach; but supplement it with commodity-specific management plans, staffing, roles, and responsibilities).

B. Commodity Management - Provide details on proposed commodities in the “Commodities Justification Table” below. This table must summarize the detailed budget showing the higher unit cost commodities and grouping smaller unit cost commodities by a similar theme (e.g. location of the commodity or type of commodities). Applicants can arrange the table to accommodate the commodities without altering the column headings. Do not include cost in this table. (See [ADS 312](#)²⁷ for Eligible Commodities.)

Commodities Justification Table:

	Commodity	Justification	Proposed Location of the Commodity	Type of Competitive Procurement Process (e.g. Competition, Sole Source, Quotes)	Position in the organization that will procure Commodities
1					
2					
3					

** Note: This “Commodities Justification Table” is separate from the Commodities Budget Table in Annex 3 where detailed cost information is required.*

C. Commodity Operations & Maintenance - Describe the Operations & Maintenance for commodities including resources (e.g. source of funding and personnel, warranties, and equipment training).

iii. Environmental Capability Statement (no more than 3 pages)

Applicants must submit an Environmental Capability Statement, which responds to the following questions (as applicable to the project.) Applicants are advised to review guidance for each question as in the [ASHA Initial Environmental Examination \(IEE\)](#).

A. Institutional Arrangements: Do you have an A&E firm or internal staffing to complete the IEE and CRM analysis and implementation? (Yes/No) Please describe below.

B. New Site Development: Will the project involve new land development²⁸? (Yes/No/Not Applicable) If Yes, please describe: 1) land tenure, 2) whether an Environmental Assessment has been prepared under 22 CFR 216 or an Environmental Impact Assessment has been prepared in accordance with host country requirements, and 3) whether the proposed construction funded

²⁷ <https://www.usaid.gov/about-us/agency-policy/series-300/312>

²⁸ Examples of new land development are conversion of an existing land use to a different land use, or construction of a new facility on undeveloped land that is not within the boundary of an existing developed area.

by ASHA is part of a larger project being funded by leverage funds or other donors?

- C. Site Selection:** Will the project be located in or near sensitive ecosystems and-or hazard prone areas? (Yes/No) If Yes, what are the mitigation or corrective actions? Please describe below. Has any cognizant organization (Internal Staff, A&E firm, Host National Ministries) verified these actions are sufficient? (Yes/No) If Yes, who?
- D. Toxics:** Will toxic materials be involved (e.g. asbestos)? (Yes/No/Not Applicable) If yes, what are they, why are they being proposed, and what are the mitigation measures being taken?
- E. Pesticides:** Will the project need to address pest control and, if relevant, procure and/or use pesticides? (Yes/No) Are any pesticides that are needed already described in the USAID ASHA Construction Pesticide Evaluation and Safe Use Action Plan or PERSUAP²⁹? (Yes/No) Please describe below.
- F. Water Supply:** Will you have enough future water capacity to meet the needs of your facility with the commodities and/or additional building features requested? (Yes/No) Please describe below. How will you protect this water from contamination during construction or waste disposal activities? Please also indicate if the project will require either a new water supply or connection to an existing water supply. If the project requires drinking water, please describe/provide available information about existing drinking water quality for the water source that the project will utilize.
- G. Solid Waste:** Describe your current solid waste disposal practices (whole facility). Will you need to upgrade your disposal and collection system to accommodate this project? (Yes/No) If yes, please describe the changes. *Note:* Include any temporary spike or surge such as disposal of packing material or construction debris, as well as long-term needs such as from future population.
- H. Sanitary Waste:** Describe your current sanitary waste disposal practices (whole facility). Will you need to upgrade your disposal and collection system to accommodate this project? (Yes/No) If yes, please describe the changes. *Note:* Include any temporary

²⁹ This also includes Construction PERSUAP:

[https://docs.google.com/document/d/1crwgomYlWdHzigMNOoGkBdedenKZD4OU/edit?usp=drive link&ouid=109881332094930667533&rtpof=true&sd=true](https://docs.google.com/document/d/1crwgomYlWdHzigMNOoGkBdedenKZD4OU/edit?usp=drive_link&ouid=109881332094930667533&rtpof=true&sd=true)

spike or use such as from construction workers as well as long-term needs such as from future population.

- I. **Medical Waste:** Describe your current medical waste disposal practices (whole facility). Will you need to upgrade your disposal and collection system to accommodate this project? (Yes/No) If yes, please describe the changes. *Note:* Include any temporary spike or use as well as long-term needs. If there will be no medical waste at this facility, write “Not Applicable” and move to the next question.
- J. **Energy:** Describe the current sources of energy. Will the project employ energy efficiency measures; equipment ³⁰ and/or green design ³¹ and/or non-fossil fuel energy sources (e.g. hydropower, wind, solar) to reduce environmental impacts? (Yes/No) Please describe below.
- K. **Climate Risks and Opportunities:** What are the climate risks associated with the proposed equipment and/or construction, and how have you planned to reduce climate risks? (Yes/No) Please describe below.
 - i) What are the potential climate risks to the equipment/construction based on the geographic location of the project (i.e. fire, drought, seasonal flooding, typhoons, etc)?
 - ii) Are there broad design features of the proposed construction/renovation that demonstrates resilience to disaster and climate change³²? Address how this facility will resist or adapt to climate change.

- 4. **Upload Attachments:** See Annex 4 for a full list of Mandatory Attachments and Mandatory as Applicable Attachments for all Applications.

5. Business (Cost) Application Format

Applicants who have been invited to submit Phase 2 Technical Applications must also submit a corresponding Business (Cost) Application at the same time as the Phase 2 Technical Application. While no page limits exist for the Business (Cost) Application, Applicants are

³⁰ Applicants are encouraged to purchase energy efficient equipment using metrics like [Energy Star products](#) or other international/local programs.

³¹ Applicants are encouraged to pursue Green Building certifications such as [LEED](#), [Energy Star Buildings](#) or other international/local programs.

³²See the Organisation for [Economic Co-operation and Development \(OECD\)](#)'s Climate-Resilient Infrastructure paper for helpful guidance.

encouraged to be as concise as possible while still providing the necessary details. The Business (Cost) application must include costs that cover the entire period of performance, using the budget format shown in Annex 3 and the period of performance in Section B of this RFA.

A) Business (Cost) Application Documents

The Business (Cost) Application format is as follows:

1. Use the **Google Form** for submission.
2. **Upload SF-424 Forms.**

The Applicant must sign and submit the applicable SF-424 documents. Standard Forms can be accessed electronically at www.grants.gov.

Required SF-424 Documents

For Projects involving Commodities Only	For Projects involving Construction Only	For Projects involving Both Commodities plus Construction
<ul style="list-style-type: none"> ● SF-424 ● SF-424A ● SF-424B 	<ul style="list-style-type: none"> ● SF-424 ● SF-424C ● SF-424D 	<ul style="list-style-type: none"> ● SF-424 ● SF-424A ● SF-424B ● SF-424C ● SF-424D

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

3. Upload Required Certifications and Assurances.

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

- (a) “Certifications, Assurances, Representations, and Other Statements of the Recipient” document found at <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303may>
- (b) Certificate of Compliance: If your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA), please submit a copy of your Certificate of Compliance. https://www.usaid.gov/sites/default/files/2022-05/self_certification_guidance.pdf

The AO may request additional certifications as required.

4. Upload Budget and Budget Narrative (see Annex 3).

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share or leverage) amounts. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award and may result in a rejection of the cost application. The Applicant must ensure the budget addresses any additional requirements identified, such as Branding and Marking, federally required audits, and M&E of public diplomacy activities only. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed items, how they apply to the program, and how the costs were determined. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

Documents Required

- **Budget:** The Budget must include the following contents, in separate tabs of an Excel spreadsheet (see Annex 3 for the template):

- (i) **Summary Budget**

- Inclusive of all program costs (federal and non-federal), and broken out by major budget category and by prime/sub-recipients (separating activities implemented by the Applicant and any potential sub-recipients) for the entire period of the program.

- (ii) **Detailed Budget**

- Including a breakdown by year, prime/sub-recipient, and sources of funding, 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.

- (iii) **Commodity Table/Detailed Budget of Durable Commodities** (if applicable)

- If the proposed project includes durable commodities, then the durable commodities must be clearly broken out in the detailed budget above **and** included in a separate tab within the Budget Excel Document titled "Durable Commodities." The Durable Commodities budget must match the Detailed Budget section for Commodities. Applicants seeking funding for the purchase of commodities that fail to include a full detailed list of commodities either in the detailed budget or as a separate tab will be deemed ineligible.

- **Detailed Budget Narrative:** The budget narrative must provide a description of all cost elements proposed, basis of estimation, and further detail to explain the breakout of units and unit costs. The basis of estimation must be from common sources and methods such as market research, vendor estimates, previous similar projects, etc. In all cases, if there is no proof of how the estimate was derived, then the budget items can be called into question. Recipients of awards must comply with [ADS 310](#)³³ Source and

³³ <https://www.usaid.gov/about-us/agency-policy/series-300/310>

Nationality Requirements for Procurement of Commodities and Services Financed by USAID and [ADS 312](#)³⁴ Eligibility of Commodities. Only eligible durable commodities may be funded by ASHA.

³⁴ <https://www.usaid.gov/about-us/agency-policy/series-300/312>

Budget Description

Applications may request funds to support commodities only, construction/renovation only, or both commodities plus construction/renovation. The Detailed Budget and Budget Narrative must contain the following budget categories and, at a minimum, the information found below.

- **Construction/Renovation-only** projects require Cost Categories: A, B and/or C, and E;
- **Commodity-only** projects require Cost Categories D and E; and,
- **Both Commodities plus Construction/Renovation** projects require: Cost Categories A, B and/or C, D, and E.

Cost Categories

- A. Professional A&E Services** – This includes the costs associated with the A&E firm. A&E fees are eligible so long as these fees are reasonable and directly related to the project. This item could include additional costs for construction oversight (ASHA’s preference is that the Applicant uses the same A&E firm that completed the design), Americans with Disabilities Act (ADA) compliance, environment and climate risk management services.
- B. Construction** – This includes all costs associated with new construction and hiring a construction company.
- C. Renovation** – This includes all costs associated with renovation and, if this is a renovation project only, hiring a construction company.
- D. Durable Commodities** – This is the cost of durable commodities. This must include information on estimated types of equipment, models, supplies, and the cost per unit and quantity. Costs for shipping, installation, training, and warranties are allowable if they are embedded in the cost of the item. These costs are not allowable if they are charged separately from the commodity. The Budget Narrative must include the purpose of the equipment or supplies and the basis for the estimates.
- E. Program Support** – Applicants can charge ASHA for the proportionate Branding Strategy and Marking Plan (BSMP) costs directly related to the award. Applicants can charge ASHA for up to \$30,000.00 USD in costs for Public Diplomacy Monitoring and Evaluation (M&E) activities, such as before/after surveys, in support of their Activity Monitoring and Evaluation Learning Plan (AMELP). M&E funds provided by ASHA can not be used for salary (full-time or consultant). ASHA funds can also be used to support reasonable costs of USOs and OSIs related to the expenses of federally required audits as identified in 2 CFR 700, [ADS 591](#)³⁵, and the award. ASHA will require program-specific audits for all ASHA-funded awards that are not covered by a Single Audit. Applicants may be asked to submit annual institutional audits during the solicitation process and/or during the post-award process; however, ASHA funds may not be used to fund annual institutional audits that are required by a state or country's laws.

³⁵ <https://www.usaid.gov/ads/policy/500/591>

All other costs listed in this category (e.g. salaries, travel costs, research costs, technical assistance, administrative overhead, training costs, profit, vehicle purchase, vehicle rental, etc.) should be covered through leveraged funds. Applicants are expected to fully fund these direct and indirect costs from other sources and must demonstrate they have the capacity to continue to support the planned project, including any annual maintenance costs associated with the project, without ongoing ASHA funding support.

Budget Breakout

- Subawards – Specify the budget portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for guidance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipients’ budgets must align with the same requirements as the Applicant’s budget. **This applies to all sub-awardees, including the OSI, which is required to fulfill the same requirements as the USO.** See sample scenarios: <https://goo.gl/JpX7AF>.
- Funding from other sources: Cost Share is not required. Funds from other sources should be shown in the budget as **leveraged funds**. Ensure that all leveraged funds are clearly identified and that the funding request plus anticipated leveraged funds cover the full cost of the project when required.

B) Business (Cost) Application Requirements

The Business (Cost) Application must adhere to the following requirements:

1. Prior Approvals in accordance with 2 CFR 200.407

If the Applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, then the Applicant must specify and justify that cost. Inclusion of an item of cost in the detailed application budget does not guarantee prior approval by the Agency. See [2 CFR 200.407](#)³⁶ for information regarding which cost elements require prior written approval.

2. Approval of Subawards

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

- Name of organization
- Unique Entity Identifier (UEI)
- Confirmation that the subrecipient does not appear on the Treasury Department’s Office of Foreign Assets Control (OFAC) [Specially Designated Nationals and Blocked Persons list](#)
- Confirmation that the subrecipient does not have active exclusions in the [System for Award Management](#) (SAM)

³⁶ <https://www.ecfr.gov/current/title-2/section-200.407>

- Confirmation that the subrecipient is not listed in the [United Nations Security Council Consolidated 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

3. UEI and SAM Requirements

USAID cannot make an award to an Applicant unless the Applicant has complied with all applicable Unique Entity Identifier (UEI) and System for Award Management (SAM) requirements. Each Applicant is required to:

- Provide a valid UEI number for the Applicant and all proposed sub-recipients (Registration in SAM is not required for non-US sub-recipients; however, each sub-recipient must have a UEI).
- Be registered in SAM (www.sam.gov) 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.
- Maintain an active SAM registration with current information at all times during which it has an active Federal award, an application, or plan under consideration by a Federal awarding agency.

The SAM 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, then USAID may determine that the Applicant is not qualified to receive an award and use that determination as a basis on which not to provide an award to that Applicant.

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

Non-U.S. organizations can find additional resources for requesting a UEI in SAM by using the [Quick Start Guide](#) or visiting the [Federal Service Desk](#) website and clicking on “Help on UEI Transition.”

4. History of Performance for Apparently Successful Applicants

Do not send History of Performance unless requested by the AO. If requested, then the Applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, looking back no more than the past three (3) years, as follows:

- Name of the Awarding Organization
- Award Number

- Activity Title
- A brief description of the activity
- Period of Performance
- Award Amount
- Reports and findings from any audits performed in the last four (4) years
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual

If the Applicant encountered problems on any of the referenced awards, it may provide a short explanation and the corrective actions taken. The Applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an Applicant's history of performance from any sources and may consider such information in its review of the Applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

5. Funding Restrictions

Profit is not allowable for recipients or sub-recipients under this award as per [ADS 303sai](#)³⁷. See 2 CFR 200.330 and ADS 303sai for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

In accordance with [ADS 312.3.3](#)³⁸, Restricted Commodities are not allowed in any ASHA award unless explicitly approved by the Agreement Officer (approval cannot be assumed by a reference statement) prior to procurement. Restricted goods are as follows:

1. Agricultural Commodities
2. Motor Vehicles
3. Pharmaceuticals
4. Pesticides
5. Used Equipment
6. Fertilizer

USAID will not allow the reimbursement of pre-award costs, as defined in 2 CFR 200.458, under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section G.3 of this RFA and must meet the source and nationality requirements set forth in 22 CFR 228.

ASHA funds must only be used to finance: (a) the procurement of durable commodities (e.g. equipment, furnishings, and other non-expendable items) and/or (b) construction/renovation

³⁷ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303sai>

³⁸ <https://www.usaid.gov/about-us/agency-policy/series-300/312>

activities.

For purposes of this RFA, construction/renovation activities also include the construction of a permanent structure, permanent system, structural improvement, structural installation of equipment, or the renovation or rehabilitation of existing permanent structures or systems in accordance with [ADS 303maw](#)³⁹.

Procurement of commodities may include such items as library materials, specialized medical and research technology, and education equipment and furnishings.

Procurement of vehicles and aircraft is not authorized under this award; however, ASHA can support refurbishing of vehicles/aircrafts if they are an intrinsic part of the program, such as mobile clinics, mobile libraries, etc. In this case the USO or OSI must purchase or have purchased the vehicle/aircraft with other funds.

Consumable commodities are not authorized under this award. See [ADS 312](#)⁴⁰ for a full description of restricted and ineligible commodities.

ASHA will generally not fund other general operating costs or overhead expenses of USOs or OSIs. ASHA funds can be used to support reasonable/proportional costs of USOs and OSIs related to: federally mandated audits; branding/marketing materials associated with ASHA awards; and Public Diplomacy M&E activities, such as before/after surveys in support of their AMELP. See Budget Description in Section D.5.A.4 for additional information about limits on funding.

SECTION E: APPLICATION REVIEW INFORMATION

1. Review and Selection Process

Applications will be reviewed in two phases: *Phase 1*, in which Applicants submit a Technical Application which USAID reviews against the merit criteria for Phase 1 described below; and *Phase 2* (by invitation only), in which invited Applicants submit a Technical Application and a supporting Business (Cost) Application. The MRC will rate the Phase 1, and the Phase 2 revised Technical Applications against the merit review criteria described in this section.

Applicants should note that: (a) **criteria for the Phase 1 and Phase 2 Technical Applications are not the same**; (b) only Applicants who receive an invitation to submit a Phase 2 Technical Application will address the remaining two (2) criteria for the Phase 2 Technical Application; and, (c) Applicants will not have an opportunity to revise Phase 1 submissions.

Phase 1 Technical Applications:

Phase 1 Technical Applications will be reviewed by the MRC with regard to how well they respond to Criterion 1: Public Diplomacy.

³⁹ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303maw>

⁴⁰ <https://www.usaid.gov/about-us/agency-policy/series-300/312>

Phase 1 Technical Applications evaluated as “Satisfactory” or above and meeting the minimum Public Diplomacy Requirements, as described in Section E of this RFA, will be invited to submit a Phase 2 Technical Application and a Business (Cost) Application. **Please note that an invitation to submit a Phase 2 Technical Application, does not guarantee an award.**

Phase 2 Technical Applications:

Phase 2 Technical Application submissions will be reviewed by the MRC with regard to how well they respond to the Phase 2 Criteria: (1) Management Approach; and, (2) Commodities and/or Construction/Renovation Approach.

The weights of the criteria in Phase1 and Phase 2 are distributed as follows:

Application Phase	Criteria Weight
Phase 1: Public Diplomacy	50% of overall rate
Phase 2: Management Approach	20% of overall rate
Phase 2: Commodities and/or Construction/Renovation Approach	30% of overall rate

2. Merit Review Criteria

A) Phase 1 Merit Review Criterion

In this phase, Applicants must clearly articulate public diplomacy and developmental outcomes and show how development activities aligned with Public Diplomacy activities.

ASHA public diplomacy is carried out through implementation and dissemination of American values, ideas and/or best practices (ABPs). ABPs are chosen and defined by applicants to address the objectives of ASHA public diplomacy activities through [a] improving organizational performance and [b] creating awareness of American best practice. ABPs chosen for [a] and [b] must be defined differently, even if they have the same name, because the activities (implementation vs outreach) and target audiences are different.

Applicants must ensure that their target audience for [a] improving organizational performance is their staff and the target audience for [b] creating awareness of American best practice is the larger community (i.e. students/patients/users and outside individuals/institutions).

In order to accomplish the public diplomacy objectives, the implementation actions and communication strategy of the chosen ABP must be communicated as American and/or shown to be practices that are shared with Americans by the OSI. The OSI must also demonstrate **action(s) they are undertaking to ensure ABPs are understood by the target audience to either be American and/or shared with Americans; simply stating the American values to be addressed or implementing USAID branding/marketing requirements is not sufficient.**

A good resource for understanding how to write the public diplomacy section is reading through the [public diplomacy](#) presentation.

1. Phase 1 Merit Review Criterion 1 – Public Diplomacy (50% overall weight)

Criterion One will be evaluated based on the following bullets, noting that bullet 1 is more important than bullets 2 and 3, and bullets 2 and 3 are in descending order of importance, to the extent to which the proposed project:

- Advances public diplomacy outcomes through the implementation of American values, ideas and/or best practice to (a) improve organizational performance within the walls of the institution and dissemination of American values, ideas and/or best practice to (b) create awareness of American best practices beyond the walls of the institution. Has an implementation strategy for [a] and communication strategy for [b] that conveys how American value(s), idea(s), and/or best practice(s) are **American and/or shared** by the partner institution and/or target audience.
- Integrates gender⁴¹ findings, gaps, constraints, and other challenges into the overall approach.
- Aligns with USG foreign policy priorities for the country or to broader international USG policy goals, such as mitigating the effects of climate change or improving the conditions of underserved communities.

Phase 1 Successful Applicants: In order to receive a minimum rating of satisfactory, an application must provide adequate detail to support Phase 1 merit review Criterion One and meet the Minimum Public Diplomacy requirements, which are that chosen ABPs must be **communicated as American/shared** to the target audience, and must suggest actions, with the intent of ensuring that ABPs are **understood as American/shared** by the target audience.

Please do not provide a detailed description of the USO and OSI, or of proposed commodities/construction in the Phase 1 submission.

B) Phase 2 Merit Review Criteria

Applicants will submit a Phase 2 Technical Application after invitation from the ASHA Agreement Officer. Phase 2 Technical Applications must address two criteria:

1. Management Approach; and,
2. Construction/Renovation and/or Commodity Approach and Environmental Capability.

The Phase 2 merit review criteria will be rated adjectivally and weighted as indicated below.

1. Phase 2 Merit Review Criterion 2 – Management Approach (20% weight)

⁴¹ Please see the White House National Strategy on Gender Equity and Equality. The fact sheet is found [here](#) and the full strategy [here](#).

Phase 2 criterion on Management Approach will be evaluated, in equal order of importance, on the extent to which the proposed project's:

- Operational approach, including management structure, staffing, roles and responsibilities, support the commodities/construction and renovation project as well as the technical (health, education, center of excellence) activities linked to the public diplomacy outcomes. Limit any history of the organization or how the project fits into the broader country context to one (1) brief paragraph ONLY.
- OSI strengthening approach contributes to the OSI's sustainability, including clear identity of sources of future funding.
- Monitoring and evaluation approach is technically sound.

2. Phase 2 Merit Review Criterion 3 – Construction/Renovation and/or Commodities Approach (30% weight)

Phase 2 criterion on Construction/Renovation, Commodities, and Environmental Capability, **in descending order of importance**, will be evaluated on the extent to which:

a. Construction/Renovation

- The proposed construction is technically sound and linked to public diplomacy outcomes.
- The proposed management plan supports efficient construction and appropriate planning for the site selection/feasibility and execution of construction.
- The quality control, and quality assurance as well as operation and maintenance plan, training, transitioning plans are technically sound.

b. Commodities

- The proposed commodities are linked to public diplomacy outcomes and the overall management approach is appropriate to support efficient procurement, transport, and safeguarding of commodities.
- The operation and maintenance plan is technically sound and contributes to long-term sustainability.

c. Environmental Capability

- The applicant has demonstrated capacity in environmental impact assessment, management, and mitigation to comply with USAID/ASHA requirements.⁴²

⁴² Applicants are advised to review guidance for each question as in the [ASHA Initial Environmental Examination \(IEE\)](#).

- The applicant has a proactive and innovative approach to managing and mitigating climate risk impact.

3. Business (Cost) Review

Applicants who are invited to submit Phase 2 Technical Applications will also be required to submit a Business (Cost) Application at the same time as the Phase 2 Technical Application.

The Business (Cost) Review takes place AFTER Apparently Successful Applicants have been identified.

The Agency will evaluate the Business (Cost) Applications of the Apparently Successful Applicants 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.

Cost share, if proposed, 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. If A&E costs for construction/renovation programs are not included in funds requested from ASHA, then cost share and/or leverage cost should, at a minimum, cover this cost.

4. History of Performance and Risk Assessment

The Agreement Officer (AO) will assess History of Performance for all Apparently Successful Applicants to inform ASHA's risk assessment. History of Performance includes review of past audit findings and their resolution, and current financial standing of USO and OSI. Further information on how performance history is used to perform a risk assessment can be found in 2 CFR 200.205. The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the Apparently Successful Applicant 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 either execute an award, not execute an award, or execute an award with "specific conditions" (2 CFR 200.207).

As previously noted, Mission concurrence is required for all awards. USAID will seek Mission concurrence for all Apparently Successful Applicants to ensure the proposed activity poses no reputational risk to the USG nor does it present insurmountable security risks.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

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

After the Phase 1 Technical Application Review, Applicants will either receive an invitation to submit a Phase 2 Technical Application or a notification that their application will not be considered further. After the SC has determined the “Apparently Successful Applicants” in Phase 2, it may request further clarification from Apparently Successful Applicants prior to finalizing the award. **Please note that being identified as an “Apparently Successful Applicant” or receiving a letter of clarification does not guarantee issuance of an award.** Once the AO has resolved all clarifications regarding the Application, the AO will determine the “Successful Applicants” from the “Apparently Successful Applicants” list based on available funding, security risk, and regulatory mandates. The “Successful Applicants” will receive a final signed award document for the Applicant’s legal representative to countersign and return to ASHA.

ASHA awards are subject to requirements set forth in Section B: Federal Award and Administration Information, as well as other requirements of 2 CFR 200 and 2 CFR 700 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

2. Administrative & National Policy Requirements

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

USAID’s internal policies to be used in the planning, formation, and administration of awards are described in the [ADS](#)⁴³. Please refer to [ADS 303](#)⁴⁴ for full USAID policy directives.

In addition, awards resulting from this RFA will be administered in accordance with the following:

- a. [2 CFR 200 and 2 CFR 700](#)⁴⁵ and [ADS 303maa](#)⁴⁶ “Standard Provisions for U.S. Nongovernmental Organizations” apply to US organizations.
- b. [22 CFR 216](#)⁴⁷ USAID Environmental Compliance Procedures apply to all awards (including subawards).

⁴³ <http://www.usaid.gov/who-we-are/agency-policy>

⁴⁴ <https://www.usaid.gov/about-us/agency-policy/series-300/303>

⁴⁵ <http://www.ecfr.gov/>

⁴⁶ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303maa>

⁴⁷ https://pdf.usaid.gov/pdf_docs/pnadd883.pdf

- c. [ADS 303mab](#)⁴⁸ “Standard Provisions for Non-U.S. Non-governmental Organizations” apply to all subawards with non-US organizations.

Voluntary Survey on Ensuring Equal Opportunity for Applicants

Applicants are encouraged, but not required, to submit USAID’s [Voluntary Survey on Ensuring Equal Opportunity for Applicants](#).

Vetting and Other Special Requirements

Additional requirements may be applicable to awards involving performance in countries that have issued Mission Orders regarding vetting or that have a partner vetting program. Awards in countries with partner vetting programs in place will be subject to the requirements set forth in [2 CFR 701](#)⁴⁹. In such cases, USAID will request additional information after Apparently Successful Applicants have been identified.

USAID Implementing Partner Notices (IPN) Portal for Assistance

By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

- Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and
- Receive universal bilateral amendments to this award and general notices via the IPN Portal.

To register, go to the IPN [website](#) and click the “Register” button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

Freedom of Information Act

Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files, including files associated with applications to this award program, unless Applicants indicate specific portions of their application that are entitled to protection from disclosure.

NDAA Section 889 prohibition: Covered Telecommunication and Video Surveillance Equipment or Services

Pursuant to John S. McCain National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Pub. L. 115-232) Section 889 and [ADS 303.3.35.2](#)⁵⁰ (Effective August 13, 2020), a recipient may not procure covered telecommunication equipment or services for the implementation of their program using award funds (this includes ASHA awards).

Applicable provision are as follows:

- US Organizations - [2 CFR 200.216](#)

⁴⁸ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303mab>

⁴⁹ <https://www.ecfr.gov/current/title-2/subtitle-B/chapter-VII/part-701>

⁵⁰ <https://www.usaid.gov/about-us/agency-policy/series-300/303>

- Non-US Organization - Non-US Standard Provision M29. “Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment”

These provisions prohibit the use of award funds, including direct and indirect costs, cost share and program income, to procure covered telecommunication and video surveillance services or equipment. The statute covers certain telecommunications equipment and services produced or provided by Huawei Technologies Company, or ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities). Such covered telecommunication equipment or services must not be reimbursed to the recipient as a direct or indirect cost or accepted as part of cost share. Additionally, the recipient must not use any program income generated under the award to purchase covered telecommunication equipment or services.

See Annex 6, for a list of the Standard Provisions that will be applicable to any awards resulting from this RFA.

3. Reporting Requirements

Recipients of ASHA awards are required to submit the SF-425 financial report quarterly, as well as semi-annual M&E indicator data, Environmental Mitigation and Monitoring Plan (EMMP), and performance narrative reports, indicating progress towards achieving project milestones and timelines for commodities purchased and/or construction/renovation undertaken. (Use of the [ASHA Semi-Annual Report template](#) for semi-annual reports is mandatory.) Final financial and narrative performance reports are required following program completion. Any significant issues, challenges, or delays should be immediately noted in ad hoc reports.

- **Financial Reporting**

Submission of an SF-425 is required for each quarter regardless of the performance start date or the estimated completion date of the Agreement’s period of performance (which will be noted in Section 1.2 of the award). Cost sharing will be reported in the SF-425 (see Section D.5.A.2) for the financial reporting requirements), specifically in lines i-k (Recipient Share) and/or lines l-o (Program Income). The final financial report is due no later than ninety (90) days after the estimated completion date of this Agreement (which will be in Section 1.2 of the award). The Recipient must submit this form in the following manner:

Submission to USAID/IPI/LFT/ASHA

One copy of the financial reports must be submitted to the AOR through ASHAreports@usaid.gov.

Submission to USAID/M/CFO/CMP

For non-Letter of Credit awards, one copy of all financial reports must be submitted to USAID/Washington, M/CFO/CMP. The submission address is ei@usaid.gov. The Recipient may omit Lines 10a-c of the SF-425 for the submission to M/CFO/CMP.

Submission to U.S. Department of Health and Human Services (HHS)

For Letter of Credit (LOC) awards, the SF-425, and SF-425A if required, must be submitted via electronic format to the HHS through the PMS system. Visit the HHS website (<https://pms.psc.gov/>) for details. The Recipient may omit Lines 10d-o of the SF-425 for the electronic submission to HHS.

Submission of final SF-425 to USAID/M/CFO/CMP

For the final SF-425, one copy must be submitted to USAID/Washington, M/CFO/CMP. The submission address is ei@usaid.gov. One copy must be submitted to the AOR through ASHAreports@usaid.gov. The Recipient may omit Lines 10a-c of the SF-425 for the submission to M/CFO/CMP.

- **Performance Reporting**

The Recipient shall adhere to all reporting requirements and remain in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.328-330). All reports must be submitted by the due dates specified for approval from the USAID Agreement Officer's Representative (AOR). The Recipient will consult with the AOR on the format and expected content of reports prior to submission. In addition to the reports below, the AOR may request information to contribute to internal USAID project reviews.

4. Program Income

Program income, different from profit, is defined as gross income earned by the recipient that is directly generated by an ASHA-supported activity or earned as a result of the Federal award during the period of performance. Program income must be used only for allowable program costs and only to further project objectives, program objectives, or award activities. The recipient shall propose a plan for usage of program income. The Agreement Officer (AO) will review the proposed plan and determine if program income will be applied as a deduction, addition, match, or cost sharing to the award (see 2 CFR 200.307 or, for non-U.S. organizations, see the provision "Program Income"). If the award anticipates a specific program income amount, any program income in excess of such amount must be deducted from expenditures. See Standard Provision RAA30. PROGRAM INCOME for more information.

If the Applicant anticipates program income under the award, then it must provide a plan for usage of the program income. If program income is not anticipated, then no plan is required.

5. Environmental Compliance

USAID requires the consideration of environmental impacts and climate risks to increase the success of the ASHA investment. [Section 117](#)⁵¹ of the Foreign Assistance Act of 1961, as amended, requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is further elaborated in [22 CFR 216](#)⁵² and

⁵¹ <https://www.usaid.gov/sites/default/files/2022-05/faa.pdf#page=73>

⁵² http://pdf.usaid.gov/pdf_docs/pnadd883.pdf

in [ADS 204](#)⁵³ (Environmental Procedures) and is complemented by the climate risk management requirement in [ADS 201ma](#)⁵⁴ (“Climate Risk Management for USAID Projects and Activities”).

As part of the pre-obligation process, ASHA Applicants will ensure environmental compliance and climate risk management in design and implementation. Environmental threshold determinations and climate risk ratings are detailed in the ASHA Initial Environmental Examination (IEE) (<https://drive.google.com/drive/folders/1VMEevbykm79yoYf8gzLkEq2k4eHJ62k3?usp=sharing>). The required Environmental Capability Statement must be submitted with the application (template in Annex 2).

6. Acquisition and Assistance Ombudsman

The Acquisition and Assistance (A&A) Ombudsman helps ensure equitable treatment of all parties who participate in USAID’s acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: <https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov

SECTION G: ADDITIONAL INFORMATION REQUIRED SUBSEQUENT TO APPLICATION

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 funding will be subject to the availability of funds and continued relevance to Agency programming.

1. Additional information

The following information will be required of Apparently Successful Applicants upon notification of the intent of ASHA to make an award, or following issuance of an award, as specified below:

Required prior to Award:

i. Branding Strategy and Marking Plan (BSMP)

Apparently Successful Applicants will be required to submit for approval a Branding Strategy and Marking Plan (BSMP) that complies with USAID’s branding and marking requirements set forth in [ADS 303](#)⁵⁵ and [ADS 320](#)⁵⁶.

⁵³ <https://www.usaid.gov/about-us/agency-policy/series-200/204>

⁵⁴ <https://www.usaid.gov/about-us/agency-policy/series-200/references-chapter/201mal>

⁵⁵ <https://www.usaid.gov/about-us/agency-policy/series-300/303>

⁵⁶ <https://www.usaid.gov/about-us/agency-policy/series-300/320>

ii. Recipient Plan

For projects that include commodities only⁵⁷, successful Applicants must submit a Recipient Plan, which includes the following:

- Timeline for commodity purchase;
- Timeline and plan for Environmental Mitigation with Monitoring Plan (EMMP) and Climate Risk Management (CRM);
- Organizational Chart or Staffing Plan;
- Key personnel names/resumes; and
- Timeline for O&M plan.

May be required **prior** to Award:

i. Risk Assessment Information

Prior to award, the Agreement Officer may require applicants to submit additional documentation deemed necessary to assess the Applicant's risk in accordance with 2 CFR 200.205.

Required **after** issuance of an Award:

i. Activity Monitoring and Evaluation Plan (AMEP)

Successful Applicants will be required to finalize and submit an Activity Monitoring and Evaluation Plan (AMEP) within thirty (30) days after award, including performance indicators that measure the objectives set forth in their grant agreement.

ii. Project Implementation Plan

For projects that include construction, successful Applicants will be required to submit a project implementation plan (see Section B.3.1 for specifications) within sixty (60) days after the award start date for AOR approval. A pre-performance meeting could be scheduled with the AOR and Key Personnel within forty-five (45) days after the award start date, to finalize the Project Implementation Plan, including timeline and milestones.

iii. Initial Environmental Examination (IEE)

All successful Applicants are required to provide documentation dedicated to environmental safeguards during activity implementation including environmental baseline information, Environmental Mitigation and Monitoring Plan (EMMP), and Environmental Mitigation and Monitoring Report (EMMR). For those involving commodity procurement only, this will be in the form of an Environmental Mitigation and Monitoring Plan (EMMP). For awards involving construction or renovation, an Activity IEE (A-IEE) is required.

⁵⁷ Note: The Recipient Plan is not needed for projects with both commodities and construction.

Awards with commodity procurement only:

Successful Applicants for awards involving only commodity procurement are required to review the [ASHA Global IEE](#)⁵⁸ and submit a Master List of Commodities. All awards are required to complete an Environmental Mitigation and Monitoring Plan (EMMP). Climate Risk Management (see section “iv” below) is required for all awards and must be submitted with the stand-alone EMMP (for commodity-only awards). Required templates for the EMMP are found in the [ASHA Global IEE](#) (<https://drive.google.com/drive/folders/1VMEevbykm79yoYf8gzLkEq2k4eHJ62k3?usp=sharing>) and the required environmental mitigation and monitoring guidelines are found in [USAID Sector Environmental Guidelines](#).

Awards with construction or renovation:

New Recipients or existing Recipients with new OSIs or new projects will be required to submit project-specific analyses of potential environmental impact. These Recipients are required to submit an A-IEE including Climate Risk Management (described below) for USAID approval within sixty (60) days after award. Required templates for the IEE are found in the ASHA IEE, and the required environmental mitigation and monitoring guidelines are found in [USAID Sector Environmental Guidelines](#).

Recipients who have active ASHA awards are only required to update their existing environmental documentation to reflect new activities and funding. The A-IEE must include an updated environmental baseline section at the existing site due to cumulative impacts due to previous construction or operation from past years’ activities funded by ASHA or other funding sources.

The IEE is a broad analysis that describes any potential negative environmental impacts of the activity and defines corrective mitigation measures and monitoring. These corrective actions must be carried out by the ASHA-approved Architect/Engineering (A/E) Services Provider for design and construction oversight and designation of the facilities manager to implement the operation and maintenance (O&M) plan once the construction is complete and the facility is operational. The IEE must be approved by the Bureau Environmental Officer (BEO) for the Inclusive Growth, Partnerships, and Innovation (IPI), and will then be sent to the USO/OSI for integrating BEO recommendations into the final design. This BEO approval must occur prior to preparation of final construction documents duly cleared by ASHA for any construction to begin and procurement of all commodities used as part of the project building and utility infrastructure.

iv. Climate Risk Management (CRM) Screening

Climate Risk Management (CRM) is integrated in the environmental compliance process and is required for all ASHA awards, including those with only commodity procurement.

⁵⁸ This also includes Construction PERSUAP:

https://docs.google.com/document/d/1crwgomYIWdHzigMNOoGkBdedenKZD4OU/edit?usp=drive_link&ouid=109881332094930667533&rtpof=true&sd=true

Recipients are required to submit a screening table and a narrative that summarizes how climate risks were identified and assessed, and addressed, as well as the critical resources used to do so. The CRM screening must be approved by the Climate Integration Lead (CIL).

Awards with commodity procurement only:

The CRM Screening must be submitted along with the EMMP to the AOR within sixty (60) days of the award start date.

Awards with construction or renovation:

As noted in the ASHA IEE, the Recipient must submit an IEE for any award including construction activities within sixty (60) days of the award start date. If the award includes any commodity procurement not directly related to the construction (e.g. equipment to install in a renovated lab), then the CRM Screening for the commodity procurement must be completed as part of the environmental analysis and the output must be submitted along with the IEE. For construction activities requiring engineering design, an ASHA-cleared Architecture and Engineering (A&E) Services Provider must conduct the CRM Screening and submit the screening along with their construction designs. Construction cannot proceed until the IPI CIL approves the CRM Screening.

v. Construction Manager Resumé (if Applicable)

If the name of the Construction Manager was not known during the solicitation stage, successful Applicants must submit the resumé post award. This must be submitted within thirty (30) days of confirmation of the Construction Firm. This information must be submitted as a separate attachment named “MA4 - Construction Manager.”

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 USG 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. Authorized Geographic Code

For awards resulting from this RFA in which the total procurement element in the award budget is greater than \$250,000, the authorized geographic code for the procurement of commodities and services under this program is 937⁵⁹. This code authorizes procurement of goods with source and nationality in the U.S., the cooperating country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. Links for a list of prohibited sources and of advanced developing countries are available in USAID's ([ADS 310](#)⁶⁰).

For awards resulting from this RFA in which the total procurement element in the award budget is \$250,000 or less, the geographic code for the procurement of commodities and services under this program is 935³⁴. This code authorizes procurement of goods with source and nationality in any area or country including the recipient country, but excluding any country that is a prohibited source.

4. Pre Award Terms

The following are pre award terms as per [ADS 303mba](#)⁶¹

1. Branding Strategy – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a “Branding Strategy,” describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

b. The request for a Branding Strategy, by the Agreement Officer from the Applicant, confers no rights to the Applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the Applicant ineligible for an award.

d. The Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

⁵⁹ Per ADS 303maa Mandatory Standard Provision 8:

<https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303maa>

⁶⁰ <https://www.usaid.gov/about-us/agency-policy/series-300/310>

⁶¹ <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303mba>

(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 brandmark, with the tagline “from the American People” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless any Section of 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 program or project.

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the Applicant must attach a copy of the proposed logos. Section F of the RFA will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcements, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. 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 program.

(5) Information on any direct involvement from the 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.

e. 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.

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

(END OF PRE-AWARD TERM)

2. Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and landmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section F of the RFA will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the Applicant, confers no rights to the Applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the Applicant ineligible for an award.

d. The Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and 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, audiovisual productions, public service announcements, Websites/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;
- (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity; and,
- (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

- (i) The program deliverables that the Applicant plans to mark with the USAID Identity;
- (ii) The type of marking and what materials the Applicant will use to mark the program deliverables;
- (iii) When in the performance period the Applicant will mark the program deliverables, and where the Applicant will place the marking;
- (iv) What program deliverables the Applicant does not plan to mark with the USAID Identity, and
- (v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The Applicant may request an exemption if USAID marking requirements would:

- (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The Applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is

sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The Applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The Applicant must explain why each particular item or product is better positioned as a host-country government item or product.

(iv) Impair the functionality of an item. The Applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The Applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The Applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The Applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the Applicant's cost data submissions, and the performance plan.

g. If the Applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

3. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

(a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

1) Shall not be required, as a condition of receiving such assistance—

(i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or

(ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

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

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

(END OF PRE-AWARD TERM)

4. 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 AO 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 PRE-AWARD TERM)