



# USAID | PHILIPPINES

FROM THE AMERICAN PEOPLE

## Subject: Universal Health Care Project

### Annual Program Statement (APS) Number: 72049223APS00001

<b>APS Issuance Date:</b>	<b>August 1, 2023</b>
<b>APS Questions Submission Closing Date:</b>	<b>August 21, 2023, 1:00 PM Philippine Time</b>
<b>APS Closing Date:</b>	<b>July 31, 2024</b>

Dear Prospective Applicants:

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, represented by the U.S. Agency for International Development Mission in Manila, Philippines (USAID/Philippines) is announcing the Universal Health Care Project Annual Program Statement (UHCP-APS). Through the UHCP-APS, USAID will request concept papers with the intent to issue awards for Health Systems Strengthening, Tuberculosis, HIV / AIDS, Global Health Security, Family Planning, and other priority health areas identified to achieve US and Philippine Government health objectives. Submission of concept papers is the first of several processes before awards may be made.

This APS is not a request for applications, a request for proposals nor a request for quotes. The purpose of this APS is to disseminate information to prospective applicants so they may develop and submit concept papers in response to future addenda under this APS. Successful concept papers may be considered for awards following additional required processes explained in this APS. This APS describes:

- The types of activities for which concept papers will be considered.
- The process and requirements for submitting concept papers and full applications.
- The Merit Review Criteria for evaluating concept papers.

This APS also refers prospective applicants to relevant documents and resources.

USAID/Philippines anticipates awarding multiple assistance awards as a result of this APS. Throughout the one-year period of this APS, USAID/Philippines anticipates issuing multiple addenda that may allow for one or more funding opportunities subject to the availability of funds. Each addendum will have its own technical area of interest and open and closing dates. However, issuance of this APS does not constitute an award commitment on the part of the U.S. Government (USG), USAID or USAID/Philippines, nor does it commit any of these entities to pay

for any costs incurred in the preparation or submission of comments, questions, suggestions, a concept paper, or a full application. Concept papers and full applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense. The actual number of assistance awards, if any, under this APS is subject to the availability of funds.

The APS and any future addenda can be downloaded from [www.grants.gov](http://www.grants.gov). All interested parties are highly encouraged to register on [www.grants.gov](http://www.grants.gov) to receive automatic notification of amendments or addenda to this APS. It is the responsibility of the applicant to download the full APS document and subsequent addenda through the web page mentioned above. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Questions regarding this APS may be submitted to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) by the date and time stated in this cover letter. In the Subject field please write "Question – Universal Health Care Project APS".

This APS is issued under the Foreign Assistance Act of 1961, as amended. Awards under this APS are subject to 2 CFR 200 and 2 CFR 700 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The applicable Catalog of Federal Domestic Assistance (CFDA) Number for this effort is 98.001.

Sincerely,

Howard Weston  
Agreement Officer  
Regional Office of Acquisition and Assistance  
USAID/Philippines

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## SECTION A: PROGRAM DESCRIPTION

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

### A.1 Title

Universal Health Care Project (UHCP)

### A.2 Overview

The U.S. Agency for International Development (USAID) Mission in the Philippines is pleased to announce the Universal Health Care Project (UHCP) Annual Program Statement (APS), which aims to achieve improved health outcomes of underserved and vulnerable Filipinos,<sup>1</sup> in alignment with the United States Government (USG), USAID, and Philippine government objectives to achieve Universal Health Care (UHC). The UHCP is intended to be a suite of awards built to strategically improve national and local health systems in the Philippines across an integrated health portfolio. The UHCP will address challenges facing the health system in the Philippines by focusing on health systems strengthening (HSS), improving the quality of service delivery, and the adoption of positive social norms and behaviors. Project activities will implement focused health systems interventions to achieve key U.S. government objectives for tuberculosis (TB), family planning / adolescent reproductive health (FP/ARH), HIV/AIDS, global health security (GHS), health systems and other emerging public health concerns. Working together and in structured coordination, the awards under the UHCP will contribute towards a more resilient and equitable health system.

Critical to the success of the UHCP APS is the participation of a broad and inclusive range of stakeholders including public, private, academic institutions, and civil society organizations. These stakeholders can provide a deep understanding of regional and local challenges, health integrative solutions, and cross-cutting programming, building towards flexible and responsive health programs that continuously learn and adapt to effectively and sustainably reach USG, USAID, and Philippine government objectives. The UHCP will also build towards commitments around locally-led development as it identifies, builds the capacity of, and partners with local and

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<sup>1</sup>The working definition of “underrepresented,” “at-risk,” “vulnerable,” or “marginalized” groups, as referenced in the document, [“Suggested Approaches for Integrating Inclusive Development Across the Program Cycle and in Mission Operations Additional Help for ADS 201”](#), is people who are typically denied access to legal protection or social and economic participation and programs (i.e., police protection, political participation, access to healthcare, education, employment), whether in practice or in principle, for historical, cultural, political, and/or other contextual reasons. Such groups may include, but are not limited to, women and girls, persons with disabilities, LGBTQI+ people, displaced persons, migrants, indigenous individuals and communities, youth and the elderly, religious minorities, ethnic minorities, people in lower castes, and people of diverse economic class and political opinions. In addition, The Philippine Development Plan 2017-2022 identified certain individuals and groups as having inherent vulnerabilities. These are the poor and transient poor, children, women, persons with disabilities (PWDs), indigenous peoples, overseas Filipinos (OFs) and their families, and older persons.

indigenous organizations.<sup>2</sup> These awards intend to streamline coordination and communication between USAID and critical health system stakeholders by reducing the focus on health areas and increasing the focus on system strengthening and empowering communities and individuals to exercise their agency to improve health outcomes. The integration of health programs will ensure more effective and efficient implementation, maximize technical assistance in priority convergence sites, and promote improved coordination among implementing partners.

### A.3 Background

#### Country Background

The Government of the Philippines faces key challenges in its health sector to provide quality, accessible and equitable healthcare to the over 100 million Filipinos living in the country. These challenges include global health crises and natural disasters, disparities in local health systems performance, and gaps in the continuum of care. More than three years into the COVID-19 pandemic, the national and local government units (LGUs) continue to struggle to catch up on the delivery of essential health services and to recover from the disruption created by the pandemic. Underserved populations, especially those from the lowest income quintiles, continue to suffer from a high prevalence of TB (including multidrug resistant TB or MDR-TB), a concentrated and growing HIV epidemic, high unmet need for family planning, high teenage pregnancy rates, and preventable maternal and newborn deaths, due to limited adoption of healthy behaviors, weak health systems and governance, and inadequate service delivery. The private sector is the preferred provider by most Filipino people and engagement with public health providers is limited, thus missing the opportunity to expand primary care services.

While the Philippines Department of Health (DOH) is the country's technical healthcare authority, the delivery of health services is a function devolved to local government units. DOH does not have direct control over implementation of health programs and provision of health care services at the local level, only serving as a steward to support LGUs through its Centers for Health Development (regional offices) and DOH-retained hospitals in different administrative regions.<sup>3</sup> With a decentralized health system, the Philippines requires additional assistance to effectively allocate financial and human resources to provide services that align with health needs and priorities.<sup>4</sup> Over the years, the DOH has provided direct support to LGUs in the form of public health commodities, human resources for health (HRH) augmentation, capital outlays for local health facilities, and even premium subsidies to support the enrollment of poor Filipinos in the National Health Insurance Programs, which drove the upward trend in the national health budget in the past years.

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<sup>2</sup> U.S. Agency for International Development "[USAID Vision for Health System Strengthening 2030](#)." March 29, 2021.

<sup>3</sup> Health Policy Development and Planning Bureau. "[Budget Briefer](#)." 2021.

<sup>4</sup> Dodd, Warren, et al. "[Governance of community health worker programs in a decentralized health system: a qualitative study in the Philippines](#)." BMC Health Services Research. May 12, 2021.

Additionally, frequent institutional disruptions have hampered progress at the Philippine Health Insurance Corporation (“PhilHealth”), which is envisioned to be the principal funder of health system reforms. PhilHealth faces challenges in registering indigent clients, , accrediting public and private primary care facilities, and timely processing and sufficient payment of reimbursements, leading to barriers in healthcare access. These institutional challenges have hindered PhilHealth from fulfilling its mandate to provide financial risk protection for Filipinos.<sup>5</sup>

In response to these challenges, the new Secretary of Health issued an eight-point priority agenda to support the execution of the health goals in the Philippine Development Plan (PDP) and the attainment of the Presidential directives in health. These include access to quality health care, prevention of priority diseases TB and HIV, improved response to emergencies, strengthened preparedness and response to potential pandemics, digital technology, improved conditions of human resources for health (HRH), and mental health.

### **Health System Strengthening**

The COVID-19 pandemic exposed key systems weaknesses and gaps across the Philippines health sector. The Philippines Government vowed to learn from the lessons of the pandemic as it strives to build more resilient health systems that are well-equipped to deliver quality health services and prepared to respond to future pandemics and disasters. The new PDP (2023-2028) puts forward a roadmap for achieving strengthened resilience in the health sector. However, chronic challenges persist in workforce development, UHC Law operationalization, devolution of responsibilities to local governments, and public financial management, including the inability to fully ensure financial risk protection. Furthermore, the Philippines still faces challenges with fragmented health systems, weak information systems and logistics and supply chain management, and difficulty in integrating various public health programs at the primary care level.

Health systems and development programs are increasingly moving towards and reorienting their approach to support integration through regulations and policies, including from the Philippines’ Department of Health. The UHCP aims to contribute to sustainable health outcomes through a strong focus on addressing the fragmentation of health systems and to operationalize the health systems objectives of USAID and the Philippines Government as envisioned by Republic Act 11223 or the Universal Health Care Law. The UHCP will particularly focus on building the capabilities of LGUs to manage their local resources and provide adequate health services with a special focus on primary healthcare, TB, FP, HIV, and GHS. It will likewise assist DOH, PhilHealth, and its regional offices to better support local health systems strengthening and program implementation through evidence-based policies, resources, and sufficient technical assistance. Furthermore, the UHCP will foster community participation in health policy and governance, which is a key driving force in achieving and sustaining improved health systems and

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<sup>5</sup> Dayrit, Manuel M, et al. “The Philippines Health System Review.” Health Systems in Transition. Vo. 8, No. 2. 2018.

has varied throughout the past decades. The renewed commitment to pursue Universal Health Care offers an opportunity to move towards better health outcomes among all population groups; financial risk protection for all, especially the poor, marginalized and vulnerable; and a responsive health system which contributes to Filipinos feeling respected, valued, and empowered.

## **Tuberculosis**

TB remains a priority public health concern in the country. According to the 2022 Global Tuberculosis Report, there are an estimated 741,000 incident TB cases and approximately 165 Filipinos die every day due to TB.<sup>6</sup> However, treatment coverage is at only 43 percent. In 2021, an estimated 1.5 percent of new and 26 percent of retreatment cases had MDR-TB /rifampicin-resistant TB (RR-TB). In the Philippines, where nearly 10 million people reside in urban slums, poverty and other social determinants are major drivers of TB endemicity. The urban poor, undernourished, children, elderly, people with HIV, diabetes, and with other health risks including smoking, substance and alcohol abuse and those who are detained or imprisoned (“people deprived of liberty [PDLs]”) are more vulnerable to TB disease.<sup>7</sup> Additionally there is low demand for essential TB screening, testing, and treatment. These challenges are tied directly to the national government and LGUs’ capacity to provide adequate HRH, financing, supply chain, and coverage.<sup>8</sup> USAID supported the implementation of the Philippine Strategic TB Elimination Plan Phase 1 (2018-2023) and a joint program review evaluated its impact, opportunities and challenges.<sup>9</sup> The National Coordinating Committee for TB (NCC TB) sought to enhance the PhilSTEP into a comprehensive, multi-sectoral initiative through the Philippine Acceleration Action Plan for TB (PAAP-TB). The PAAP-TB aligns NCC members’ organizational plans, policies and programs to support TB elimination efforts including social protection, education, civil society, and private sector engagement. USAID supported the development of PAAP to ensure that the Philippines TB elimination goal by 2030 is achieved. The Philippines’ strategy for TB elimination aims to achieve a 15 percent reduction in mortality and 12 percent reduction in TB incidence. Key efforts are needed focused on case notification, treatment success, and prevention of MDR-TB, while supporting overarching system reforms. The Marcos administration has identified TB as a priority issue, committing to support interventions to reduce its burden in the country. The Philippines is on the list of high burden countries, i.e. focus countries for global action on TB, HIV-associated TB and drug-resistant TB, where progress is most needed to achieve the targets set in WHO’s End TB Strategy, and the political declaration of the United Nations (UN) high-level meeting on TB. USAID also lists the Philippines as a priority country under the Global Accelerator to End TB.<sup>10</sup> The USAID Global TB Strategy (2023-2030) is well-aligned with the PAAP-

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<sup>6</sup> [World Health Organization Global Report TB 2022](#)

<sup>7</sup> Flores, et al. “[The Social Determinants of TB in the Philippines.](#)” The Lancet. January 2022.

<sup>8</sup> [Department of Health, 2019 Philippines TB Joint Program Review](#)

<sup>9</sup> Philippine Department of Health. 2020. “Updated Philippine Strategic TB Elimination Plan - Phase 1: 2020-2023.”

<sup>10</sup> USAID Global Accelerator to End TB

TB vision of a TB-free Philippines.<sup>11,12</sup> USAID’s TB portfolio in the Philippines aims to work with partners to reach every Filipino with tuberculosis, cure those in need of treatment, prevent new infections and progression to active TB disease, while scaling-up innovations in detection, care, and treatment, and fostering local ownership to sustain TB programs that contribute to overall pandemic preparedness. USAID works closely with the Global Fund to Fight AIDS, TB and Malaria, in its TB elimination efforts in the Philippines.

## HIV/AIDS

The Philippines has one of the fastest growing HIV epidemics in the Asia-Pacific Region<sup>13</sup> with an estimated 158,400 people living with HIV as of 2022.<sup>14</sup> The impact of the ongoing HIV epidemic disproportionately affects key populations — specifically transgender women, gay men, and other men who have sex with men – who comprise more than 80 percent of cases in the HIV registry.<sup>15</sup> More than 50 percent are among the young population aged 25-34 years old and cases are heavily concentrated in the National Capital Region, CALABARZON, and Central Luzon. COVID-19 stalled the country’s progress towards achieving epidemic control with case finding at only 65 percent, treatment retention at 66 percent, and viral load suppression at 27 percent as of December 2022, falling substantially short of the global 95-95-95 goals.<sup>16</sup>

The national and local HIV programs face additional health systems challenges that undermine the effective scale-up of service delivery and high-quality HIV prevention, testing, and care and treatment services as a result of gaps in financing, procurement and supply chain management, and quality improvement.<sup>17</sup> Through the U.S. President’s Emergency Plan for AIDS Relief (PEPFAR) program, the Philippines officially began implementation in 2020 with the broad goals to reach the global 95-95-95 targets<sup>18</sup> in the country and in partnership with the Department of Health and the efforts of four U.S. agencies.<sup>19</sup> To complement this work, USAID will continue supporting community-led monitoring, advocacy, and key systems interventions aimed at improving procurement and supply chain management and sustainable financing at the national and local government unit levels.

## Global Health Security

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<sup>11</sup> USAID Global TB Strategy (2023-2030)

<sup>12</sup> The Philippine Acceleration Action Plan For Tuberculosis (PAAP-TB)

<sup>13</sup> [“Global AIDS Update 2018 Miles to go: Closing Gaps, Breaking Barriers, Righting Injustices.” UNAIDS.](#)

<sup>14</sup> Department of Health - Epidemiology Bureau. Spectrum Estimates and AIDS Epidemic Model. May 2022.

<sup>15</sup> HIV, AIDS, and ART Registry of the Philippines, DOH-EB, December 2022

<sup>16</sup> Ibid.

<sup>17</sup> Mendoza, Red. [“PH in ‘new wave’ of HIV-AIDS infections – UN body.”](#) The Manila Times. May 13, 2021.

<sup>18</sup> [“UNAIDS 2025 AIDS Targets - 95-95-95.”](#) 95 percent of people living with HIV know their status; 95 percent of HIV positive individuals are on treatment; 95 percent of those on treatment are virally suppressed.

<sup>19</sup> PEPFAR Philippines implementing U.S. agencies currently include USAID, U.S. Centers for Disease Control and Prevention (CDC), U.S. Health Resources and Services Administration (HRSA), and U.S. Department of Defense (DOD).



The Philippines continues to face challenges in responding to public health emergencies, which became more evident during the COVID-19 pandemic, due to limited resources, weak capacity, and poorly equipped facilities. Gaps in HRH at all levels affected pandemic response, delivery of other essential health services, and vaccination roll-out. The Philippines is a signatory to the International Health Regulations (IHR) and led the conduct of a Joint External Evaluation (JEE) in 2018 which identified areas for improvement in the prevention, detection, and response to emerging infectious diseases.<sup>20</sup> USAID supports the Philippines as a new GHS intensive support partner, to strengthen its capacity to prevent avoidable outbreaks; detect threats early; and respond rapidly and effectively when outbreaks occur through the One Health approach.

The Philippines is ranked 57 among 195 countries on the 2021 Global Health Security Index, a ranking based on countries' health security capacities and preparedness to respond to future epidemic and pandemic threats. In order to achieve the priorities on Global Health Security,<sup>21</sup> national and local government units must strengthen their ability to prevent, detect and respond to disease outbreaks. Launched in 2019, the GHS initiative guides the U.S. government's work initially in 19 priority countries and in 16 sub-technical areas spanning animal and human health, agriculture, and security with the aim of supporting at least 50 countries by 2025. USAID will strengthen its contribution to Agency and GHS goals through its programming to boost country capacity and workforce development through the interagency to prevent, detect, and respond effectively to infectious disease threats.

## Family Planning

High rates of adolescent and unplanned pregnancies were further exacerbated by the COVID-19 pandemic. Approaches to family planning and teenage pregnancy remain as a "medical" model despite a need to focus on social behavior change communication and the need to integrate with cross-cutting areas such as climate/environment, conflict, positive youth engagement, social welfare, education, gender equity and inclusion. The Philippines' annual population growth rate, estimated at 1.5 percent (2022), remains one of the highest among the Association of Southeast Asian Nations (ASEAN) countries.<sup>22</sup> The most recent NDHS (2022) showed the total fertility rate has decreased to 1.9, which is below replacement level. However, disparities remain between women in rural and urban areas, those with low education, as well as wealth quintiles. Use of modern family planning methods is very low among sexually active unmarried women. The adolescent pregnancy rate decreased from 8.6 percent in 2017 to 5.4 percent in 2022. However, there is a pronounced gap across socio-economic status with two out of 100 adolescents in the wealthiest quintile having ever been pregnant compared to 10 out of 100 adolescents in the poorest quintile. While the number of births to 15-19 year olds declined by 33 percent over 2016 to 2022, the number of births to below 15 year olds increased by 22 percent, suggesting a need

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<sup>20</sup> World Health Organization, Joint External Evaluation of IHR core capacities Republic of the Philippines 2018.

<sup>21</sup> [Global Health Security Agenda](#).

<sup>22</sup> "Health Nutrition and Population Statistics." World Bank DataBank..

to improve social protection among girls and adolescents.<sup>23</sup> These shifts necessitate an approach of looking beyond a health perspective and towards social determinants such as education, skills, and employment to contribute to economic growth by attaining a demographic dividend. When a woman has children too early in life, the health of the mother and baby are at risk. Early pregnancies prevent adolescents from realizing their full potential to be productive members of society. The estimated net effect of early childbearing in the Philippines due to lost opportunities and foregone earnings can be as high as 33 billion pesos (US\$ 63.2 million)<sup>24</sup> annual losses for the country.<sup>25,26</sup>

The Philippines renewed its commitment to provide sustained funding for the voluntary FP program to accelerate reduction of unmet needs among underserved women and girls and reduce teenage pregnancy through the Family Planning 2030 (FP2030) initiative. USAID will work with the national and local government agencies to expand strategies to address social determinants of health affecting adolescents and strengthen the implementation of the Reproductive Health Law.

### **Maternal and Child Health and Nutrition**

The 2022 NDHS showed an increase in infant (22 per 1000 live births) and neonatal mortality (15 per 1000 live births) after years of significant decline.<sup>27</sup> High maternal deaths are continuously reported in disadvantaged areas like the Bangsamoro Autonomous Region of Muslim Mindanao (BARMM) where there is a significant weakness in the health systems.

Nutrition remains to be a major health issue in the Philippines with stunting affecting close to 30% of the children under 5, seeing modest decline in the past 30 years.<sup>28</sup> The country still ranks high in terms of prevalence both regionally and globally. Undernutrition in the early years of life, which is more prevalent among lower socio-economic groups, hampers long term development and prosperity. The burden on the Philippines economy brought by childhood undernutrition was estimated at US\$4.4 billion or 1.5% of the country's GDP.<sup>29</sup> These statistics demonstrate the unfinished challenge of ensuring maternal, newborn, infant, and child health and nutrition, which the UHCP is well-positioned to address, especially as USAID/Philippines has identified food security as one of its priorities.

### **Drug Rehabilitation**

USAID has also played a lead role with other development partners, such as WHO and UNODC, to expand evidence-driven, voluntary, community-based drug rehabilitation programs aligned

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<sup>23</sup> Philippine Statistics Authority (PSA) and ICF. 2022. 2022 Philippine National Demographic and Health Survey (NDHS): Key Indicators Report.

<sup>24</sup> Average 2016 exchange rate (USD 1 to PhP 47.492).

<sup>25</sup> Herrin, Alejandro N. "Education, Earnings and Health Effects of Teenage Pregnancy in the Philippines." UNFPA Philippines. July 2016.

<sup>26</sup> "P33B in potential income lost due to teen pregnancy." UNFPA. Aug. 22, 2016.

<sup>27</sup> Philippine Statistics Authority (PSA) and ICF. 2022. 2022 Philippine National Demographic and Health Survey (NDHS): Key Indicators Report.

<sup>28</sup> [World Bank \(2021\) Undernutrition in the Philippines: Scale, Scope, and Opportunities for Nutrition Policy and Programming](#)

<sup>29</sup> UNICEF. "Economic Consequences of Undernutrition in the Philippines: A Damage Assessment Report", 2017

with the Dangerous Drugs Board approved policies on the provision of client care. This intends to strengthen the public health oriented approach to substance use, which is essentially a mental health issue, and to mainstream CBDR into the country’s mental health programs.

### **Relationship to the USAID Philippine Country Development Cooperation Strategy (CDCS) 2019-2024**

The UHCP APS will contribute to the USAID Philippines CDCS 2019-2024 (below) and other US Government development priorities in the country. This new APS takes into consideration the results of the 2022 CDCS mid-course stocktaking while building in flexibility to changing priorities and new opportunities in the health sector.

#### **USAID PHILIPPINES CDCS GOAL 2020 - 2024: A WELL-GOVERNED AND MORE SELF-RELIANT INDO-PACIFIC PARTNER**

<b>DO 1 Democratic Governance Strengthened</b>	<b>DO 2 Inclusive, Market-Driven Growth Expanded</b>	<b>DO 3 Environmental and Community Resilience Enhanced</b>
<b>IR 1.1 Civic Engagement Increased</b> I.1.1 Civic advocacy for better public services bolstered I.1.2 Integrity of electoral process strengthened	<b>IR 2.1 Regulatory Quality Improved</b> 2.1.1 Enabling environment for open, fair, and competitive trade and investment strengthened 2.1.2 Enabling environment for infrastructure development improved 2.1.3 Enabling environment for basic service delivery improved 2.1.4 Enabling environment for the digital economy strengthened	<b>IR 3.1 Advanced Energy Sector and Markets Expanded</b> 3.1.1 Performance of energy utilities improved 3.1.2 Deployment of advanced energy system increased 3.1.3 Energy procurement process enhanced
<b>IR 1.2 Public Transparency and Accountability Improved</b> I.2.1 Civil society oversight bolstered I.2.2 Access to information expanded I.2.3 Media independence and capacity strengthened	<b>IR 2.2 Government Capacity to Finance Self-Reliance Increased</b> 2.2.1 Domestic public resource mobilization increased 2.2.2 Public financial management strengthened	<b>IR 3.2 Sustainable Use of Natural Resources Strengthened</b> 3.2.1 Conservation of biologically diverse areas advanced 3.2.2 Management of water resources for service delivery sustained 3.2.3 Private Sector financial models for sustainable resource management accelerated
<b>IR 1.3 Rule of Law Advanced</b> I.3.1 Public support for citizens' rights increased I.3.2 Access to justice for marginalized and/or vulnerable groups enhanced I.3.3 Domestic trafficking in persons reduced	<b>IR 2.3 Human Capital Development Improved</b> 2.3.1 Priority health outcomes improved 2.3.2 Education systems strengthened 2.3.3 Science, technology and innovation capacity strengthened	<b>IR 3.3 Response to Transnational Threats Strengthened</b> 3.3.1 Institutional systems to combat environmental crimes improved 3.3.2 Social connectedness increased 3.3.3 Capacity to detect and control infectious diseases strengthened
<b>IR 1.4 More Responsive Local Governance</b> I.4.1 Decentralization enabling environment strengthened I.4.2 Local service delivery enhanced I.4.3 Stakeholder participation in key local bodies expanded I.4.4 Data-based decision-making improved	<b>IR 2.4 Private Sector-led Growth Promoted</b> 2.4.1 Private enterprise development improved 2.4.2 Private sector service delivery increased	<b>IR 3.4 Capacity to Mitigate Risks of and Respond to Disaster Strengthened</b> 3.4.1 Preparedness for disaster and climate stresses improved 3.4.2 Urban resilience improved 3.4.3 Delivery of humanitarian assistance improved
<b>Cross-cutting Themes:</b> Increased Private Sector Engagement, Enhanced Gender and Social Inclusion, Civil Society Strengthened		

### **A.4 Statement of APS Theory of Change, Purpose, and Expected Results**

**Theory of Change:** If health system performance and resilience are improved, high quality and responsive health services are delivered, and positive social norms and behaviors are adopted, then underserved and vulnerable Filipinos will have improved health outcomes and enhanced

quality of life.

**Purpose:** The purpose of the UHCP is to improve health outcomes of underserved and vulnerable Filipinos.

The vision is that individuals, particularly underserved and vulnerable populations, will gain control of their own health, have continuous access to evidence-based information and affordable, quality services and commodities, and benefit from a more responsive and resilient health system.

For USAID, this translates into developing stronger partnerships with national and local government, private sector, and local organizations towards fortification and institutionalization of healthy norms, services, and health systems. For the underserved, it means engaging with a host of providers of information and services relevant to their age, social, and cultural mores, and health needs. For service providers, it means adopting state-of-the-art approaches and technology to improve their effectiveness, reach, and service coverage. For systems strengthening, it means deeper engagement with the local actors and local systems that are crucial to continued achievement and sustainability of overall health outcomes.

The UHCP will contribute to the sustained and coordinated multi-sectoral approach focusing on locally-led development and will pivot towards a more transformative model that seeks to address critical social determinants of health, including education, skills development, and employment, as well as animal and environmental health, to mitigate future impacts of macro- and micro shocks to health systems. The UHCP will focus on increasing the effectiveness of stakeholder interactions, recognizing that social accountability and engagement is particularly critical in health policy. USAID will continue to support the policy process and political economy of health systems investment, which are dynamic and constantly evolving in response to changing circumstances and emerging challenges. Additionally, the UHCP will approach health programming with the understanding that government, civil society, and other stakeholders must possess the skills necessary to actively engage in all aspects of the policy process to support the development and implementation of sound health governance, finance and management capacity.

**Expected Results:** The APS and its addendum awards are expected to contribute to the results identified below.

### **Result 1: Positive Social Norms and Behaviors Adopted**

Strengthening positive social norms and healthy behaviors will be achieved by providing information and activities, and developing new local partnerships that influence social norms and allow individuals to make informed choices about how to protect their health, sustain the practice of healthy behavior, and access health services when needed.

- 1.1 Individual adoption of healthy behaviors improved;
- 1.2 Community ownership and participation in healthy behavior improved;
- 1.3 Advocacy to demand quality health services and protection of individual rights and security strengthened; and
- 1.4 Multi-sectoral partnerships expanded.

## **Result 2: Responsive and High Quality Services Delivered**

USAID will place emphasis on improving the quality of primary health care services using patient-centered approaches to diagnose, provide care and treatment, and mentor health care providers. The Project will also contribute to identifying, developing, and implementing innovations to improve the quality of health services.

- 2.1 Quality preventive, clinical, and laboratory services integrated;
- 2.2 Human resources for health skills and competencies built;
- 2.3 Innovation, research and development; and
- 2.4 Quality of health services through patient-centered and inclusive approaches improved.

## **Result 3: Health Systems Resilience Improved**

Under this sub-purpose, selected functions of the health system – health workforce development, provision of commodities, regional and local governance, and financial risk planning and budgeting – that are considered critical by the Department of Health, USAID and other stakeholders will be fortified, institutionalized, and sustained.

- 3.1 Governance capacity and evidence-based decision-making improved;
- 3.2 Sustainable and efficient financing enhanced;
- 3.3 Access to quality, safe, effective medical products expanded;
- 3.4 Human resources for health (HRH) organization, quality, and performance improved; and
- 3.5 Utilization of quality health information for decision-making enhanced.

### **A.5 Guiding Principles**

The implementation of the Universal Health Care Project shall be guided by the following principles:

*Innovations and Evidence-Based Implementation.* Refers to testing and scaling-up new, nontraditional, state-of-the-art approaches and technologies to achieve healthy behaviors, strengthen client-centered care and institutionalize critical health systems reforms. Also refers to collecting, measuring, and using data and evidence to develop policies and interventions.

*Capacity-building.* Refers to strengthening local institutions, transfer of technical skills, and

promoting appropriate policies at all levels of the health system to move towards significant, positive change in the health system as a whole. As a result, the Philippine health system will absorb, institutionalize, and sustain technical and systems approaches to meet the needs of the vulnerable and the underserved.

*Sustainability.* Refers to the ability of a country, working across its sectors (government, civil society, citizens, private sector) to solve its own development challenges. This needs the re-orientation of donor assistance to better support the country to achieve its health goals through appropriate policies and systems reforms. Includes recognition that this process requires changes in management of resources, both human and financial, and a change in culture within the health system regarding what can be accomplished on a sustained basis without recurrent donor support.

*Locally led development.* Refers to the process in which local actors develop solutions, and bring the capacity, leadership, and resources to make those solutions a reality. This entails establishing new partnerships with local communities, schools and academic institutions, health care organizations, public and private providers, professional societies as well as faith-based, non-governmental, and civil society organizations to multiply the impact of programs in FP/ARH, HIV, GHS, and other health priorities that may be identified in the future.

*Inclusive development and Diversity Equity Inclusivity, and Accessibility (DEIA).* In designing new approaches, the engagement of vulnerable and underrepresented groups will be a priority including but not limited to women and girls, LGBTQI+ people, migrants, indigenous individuals and communities, and persons with disabilities. This also aligns well with the [positive youth development](#) approach, which aims to create a more enabling environment towards improved assets, agency, and contributions of young people (ages 10-29). In addition, through DEIA, USAID commits to improving diversity and enhancing inclusion and equity for everyone in the workplace and strengthening accountability for promoting and sustaining a diverse workforce and inclusive workplace culture.

*Gender Equality and Women's Empowerment.* Refers to the integration of transformative gender programming to support policies and programs that promote equality and achieve program objectives. In order to promote gender equality and women's empowerment, an in-depth analysis of the issues relative to gender disparities in the provision and utilization of FP/ARH, TB, HIV, and GHS services shall be articulated and gender responsive and transformative strategies proposed to address the issues identified. Activities are envisioned to transform gender relations within and outside the household, by changing attitudes of men, women, and adolescents at the community and societal level. This approach will attempt to promote gender equality by: 1) fostering critical examination of inequalities and gender roles, norms, and dynamics; 2) recognizing and strengthening positive norms that support equality and an enabling environment; 3) promoting the relative position of women, girls, and marginalized groups; and 4) transforming the underlying social structures, policies, and broadly held social norms that perpetuate gender inequalities. Projects should aim to concretely demonstrate how women and

girls in all their diversity—including those of the lesbian, gay, bisexual, transgender, queer, intersex, plus (LGBTQI+) community, will be empowered by strengthening their ability to make and put into action health and other critical life choices.

*Private Sector Engagement* - Refers to the approach to planning and programming through which USAID and its government partners consult, strategize, align, collaborate, and implement with the private sector including private hospitals, pharmaceutical companies, health maintenance organizations, and other businesses for greater scale, sustainability, and effectiveness of health and development programs.

*Climate Resilience and Conflict-sensitive Assistance*. Refers to the ability of the health system to manage and mitigate climate risks and disruptions in the delivery of health services brought about by conflict. Strategies to establish resilient health systems and programming that are equipped to respond to adverse public health events, including emerging public health threats, climate and conflict-related shocks should be considered.

## **A.6 Geographic and Target Population**

USAID will review and analyze existing and recent province and city-level data on a host of critical indicators including health outcomes, disease burden, performance metrics, and contextual information to determine the geographic site-level support necessary for achieving maximum health outcomes among the most vulnerable populations, while also optimizing resources. This analysis will contribute to the selection of provinces and cities which will take into consideration USG priorities as well as inputs from the host government, the private sector, and civil society. The final determination of the sites will be one of the key milestones of the co-creation process. Two categories of sites are defined below:

**Convergence sites.** These are provinces and highly urbanized cities where two or more priority global health activities (mainly TB and FP/ARH, and to the extent possible HIV, GHS, and if funding is available, nutrition and child immunization) will operate. By providing technical assistance with a strong health systems focus that assists the DOH to realize its UHC vision and connects all USAID-prioritized programming, the gains in health outcomes are sustained by high performing health systems across key functional areas (i.e. planning and organization, strategic information systems, finance, human resources for health, leadership and governance, and supply chain management).

**Focus sites.** Sites under this category are secondary areas with specific programmatic needs and will focus on improving service-delivery models of the prioritized health area (either TB, FP, GHS, HIV or other funded health element) and aims to provide support to LGUs and national and regional actors required to reach USAID targets. In focus sites, the implementing mechanism will have program-specific and health systems components that will be aligned with the HSS

strategies.

### **A.7 Collaborating, Learning, and Adapting**

The UHCP is expected to contribute to USAID/Philippines' CDCS commitment to a multifaceted collaborating, learning, and adapting (CLA) approach to development. As the UHCP APS will utilize different USAID funding streams to achieve programmatic objectives, CLA mechanisms on health systems strengthening will be critical. The CLA approach is about understanding that development efforts yield more effective results if they are coordinated and collaborative, and test promising, new approaches in a continuous yet rapid, targeted search for generating improvements and efficiencies and building on what works. CLA creates the conditions for fostering broader development success by:

- Collaborating: The UHCP Activities will collaborate with and/or directly engage national and local government units, private sector, civil society, professional organizations, academic institutions, international experts, communities, schools, youth groups, faith-based organizations, and other donors and international organizations. All USAID Health activities working in convergence sites will represent themselves as "One USAID". Cognizant of both the value of social determinants of health in achieving desired outcomes and breadth of programmatic interventions for strengthening health systems, the UHCP Activities will substantially coordinate with other USG or other complementary activities working in different sectors like education, environment, and economic development and democratic governance, particularly on various areas where interest coincides.
- Learning: Generating and feeding new learning, innovations and performance information back into the program strategy to inform program management, design, USG policy dialogue opportunities and funding allocations; (e.g. creating pauses for reflection within the activity implementation scheme, engaging stakeholders for shared 'learning moments', conducting analytical review of existing and/or new evidence that may support or contradict common understanding).
- Adapting: Translating learning (from within the implementation experience or external sources) and considering changing conditions, along the lines of the risks, assumptions and game changers, into strategic and programmatic adjustments (e.g. adjusting work plans to account for contextual shifts or tacit learning from a team's experience, while clearly and explicitly capturing and sharing the rationale for adjustments along the way.) Mechanisms will be put in place to formally and informally solicit short-loop feedback from data sources, national and local government partners, as well as from key stakeholders and beneficiaries, and these will be used consistently as inputs to CLA activities for the duration of this Project. A mid-term whole of project evaluation will likewise be conducted to assess project performance in relation to objectives set, guide course correction to improve implementation, scale up promising practices, and



understand the contributions of USAID investments in the health sector.

As such, USAID/Philippines' CLA approach fundamentally builds upon the monitoring and evaluation tasks and requirements outlined above, accessing and analyzing data and lessons learned gathered through that process as the foundation of learning. At the same time, CLA is envisioned as a pathway to build a learning organization and learning practices, at the activity team level, but also across USAID portfolios, and with partners and stakeholders. Thus, the recipient will devote sufficient staffing attention to integrate collaboration, learning and adaptation throughout programmatic approaches, while addressing specific coordination, research and monitoring and evaluation requirements as outlined above.

[End of Section A]

## **SECTION B: FEDERAL AWARD INFORMATION**

### **B.1 Funding**

The estimated amount likely to be available for each award will be referenced in each addendum. USAID reserves the right to fund one, more than one, or none of the concept papers submitted in response to any addenda.

### **B.2 Period of Performance for Federal Awards**

The anticipated period of performance for each award may vary and will be stated in the addenda.

### **B.3 Contents and organization of Concept Papers**

The technical scope of what is to be addressed in each concept paper will be outlined in each addendum to this APS. Applicants must propose approaches to achieve all stated objectives and the respective sub-objectives under each objective. Organization of concept papers and submission instructions are included later in this APS. Where instructions in this APS differ from instructions in future addenda, instructions in the addenda take precedence.

### **B.4 Geographic Code**

The geographic code for the procurement of commodities and services under this APS is 937, defined as the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source.

### **B.5 Type of Award and Substantial Involvement**

All awards made as a result of this APS and subsequent addenda will be assistance awards. USAID/Philippines anticipates awarding grants or cooperative agreements. USAID/Philippines will state the type of award in each addendum but reserves the right to change the award type at any time based on the recipient's experience managing donor funded awards. USAID/Philippines may also award a fixed amount award instead of a grant or cooperative agreement<sup>30</sup>. USAID may also issue renewal awards or transition awards. Awards will be subject to ADS 300 and 303. Awards to PIOs will be subject to compliance with ADS 308.

The recipient will operate in accordance with the terms and conditions of the grant or cooperative agreement. USAID/Philippines may decide to be "substantially involved" in implementation of awards, and therefore award a cooperative agreement. Cooperative agreements are identical to grants except with cooperative agreements, USAID may be substantially involved in implementing the award. Each addendum will state the type of award or awards to be made, and if a cooperative agreement, what substantial involvement will be included in the award. Examples of substantial involvement are below:

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<sup>30</sup> A Fixed Amount Award is appropriate for supporting projects with very specific and defined elements, when the USAID Agreement Officer is confident that a reasonable estimate of the actual cost of the overall effort can be established, and USAID can define accomplishment of the purpose of the grant through defined milestones. USAID's policy concerning Fixed Amount Awards can be found in ADS 303.3.25 at <http://www.usaid.gov/ads/policy/300/303>

- Approval of the recipient's implementation plans.
- USAID/Philippines' ability to immediately halt an activity if the recipient does not meet detailed performance specifications (for example, construction specifications).
- Review and approval of one stage of work, before work can begin on a subsequent stage.
- Review and approval of substantive provisions of proposed subawards or contracts.
- USAID/Philippines involvement in the selection of and approval of key recipient personnel.
- USAID/Philippines and recipient collaboration or joint participation, such as when the recipient's successful accomplishment of objectives would benefit from USAID/Philippines' technical knowledge.
- USAID/Philippines' monitoring to permit specific kinds of direction or redirection of the work because of the interrelationships with other projects or activities.
- Direct operational involvement or participation to ensure compliance with statutory requirements such as civil rights, environmental protection, and provisions for people with disabilities.
- Requirements established prior to award that limit the recipient's discretion with respect to the scope of services offered, organizational structure, staffing, mode of operation, and other management processes, coupled with close monitoring or operational involvement.

#### **B.6 Emergency Response Provision**

The Philippines is vulnerable to natural hazards, epidemics, and sociopolitical instability. These challenges, whether natural or human made, can quickly and significantly set back development gains in the Philippines. Hence, implementing partners should have the capacity to respond to these challenges by mobilizing resources, redirecting funds, or supporting new activities, which may include construction, at the request of USAID/Philippines that may vary considerably from those activities in the approved award. Responses may include cooperating with other U.S. government departments, agencies or personnel, or assistance to Philippine government and other key stakeholders, and revision of geographic focus.

Accordingly, awards resulting from this APS and addenda will allow redirection of the Program Description or funds to support activities to address unknown and unanticipated challenges and disaster events. Any use of this provision must be mutually agreed upon by USAID and the Recipient. Prior to any use of this provision, the Recipient and USAID shall identify activities to be carried out and the cost of such activities, and obtain written concurrence from the AOR, with specific reporting instructions, and approval from the Agreement Officer.

The scope and deliverables expected from the realignment of activity resources will be mutually agreed upon by USAID/Philippines and the Recipient.

[End of Section B]

## **SECTION C: ELIGIBILITY INFORMATION**

### **C.1 Eligible Entities**

USAID seeks maximum competition for all awards, in which case U.S. and non-U.S. public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, and non-governmental organizations will generally be eligible to submit a concept paper under each addendum. However, under one or more addenda, eligibility may be restricted to local Philippine entities or other entities to foster capacity of local organizations. Regardless of eligibility, applicants are encouraged to prioritize local labor for positions at every level and department in their submissions. Each addendum will specify and define eligibility.

Regardless of eligibility, concept papers must be from a legally recognized organizational entity under applicable law, legally registered in a country within geographic code 937 (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source per ADS 310.3.1.1). Concept papers from individuals will not be accepted nor reviewed.

For-profit firms may participate under this APS pursuant to 2 CFR 200.400(g) unless prohibited as stated in an addendum. However, it is USAID policy not to award profit to prime recipients and subrecipients under assistance instruments. Though profit is not allowed for sub-awards, the prohibition does not apply when the recipient acquires goods and services in accordance with 2 CFR 200.317 -326, "Procurement Standards." This is discussed more specifically in ADS 303sai "Profit Under USAID Assistance Instruments," which can be found at this link:

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

Each applicant must be found to be a responsible entity before receiving an award. The Agreement Officer (AO) may determine that a pre-award survey, a Non-U.S. Organization Pre-Award Survey (NUPAS), or Entity Eligibility Check is required in accordance with ADS 303.3.9.1, and if so, will establish a survey team to conduct an examination that will determine whether the applicant has the necessary organization, experience, accounting and operational controls, and technical skills – or the ability to obtain them – in order to achieve the objectives of the award. Applicants who do not currently meet all USAID requirements for systems and controls may still be eligible under special award considerations and should not be discouraged from applying. USAID especially welcomes applications from organizations that have not previously worked with the USAID nor been prime recipients of USAID awards. USAID strongly encourages applications from new, non-traditional, and local partners.

### **C.2 Cost Sharing**

Cost sharing may be required. Cost sharing are contributions by the recipient, both cash and in-kind, that are necessary and reasonable to achieve award objectives, are verifiable from the recipient's records, and are costs not borne by the USG. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 2 CFR 200.306, and is subject to audit. A recipient's failure to meet its cost share requirement can result in questioned costs.

If cost sharing is required, a final cost share amount will be stated in addenda or negotiated with the recipient prior to award.

### **C.3 Limitations on Submissions**

Applicants may submit only one concept paper per addendum but may submit a concept paper to more than one addendum. There is no limit to being included as a potential subrecipient on other applicants' submissions.

### **C.4 Teaming Agreements**

A teaming agreement is an agreement between a prime recipient and subrecipients to combine resources in order to respond to a USAID funding opportunity. A properly established teaming agreement reflects the role of each subrecipient and the prime. There are two types of teaming agreements—exclusive and nonexclusive. This APS and all subsequent addenda discourage the use of exclusive teaming arrangements between the applicants and potential subrecipients.

[End of Section C]

## SECTION D: CONCEPT PAPER SUBMISSION INFORMATION

### D. 1 Agency Point of Contact

#### Questions

Questions regarding the APS should be emailed to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) by the date and time stated on the cover page of this APS.

In the subject field of the email write, “**Questions for UHCP APS - Organization Name**”

Please return to grants.gov after the deadline to review the answers.

#### Concept papers must be submitted via email,

- To [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) by the date and time stated in addenda.
- As a single, searchable, and editable PDF file.
- Do not send multiple files. Do not send organization literature, promotion material, articles, or any other information not explicitly asked for.
- In the subject field of the email write – “**Submission for UHCP Addendum # - Organization Name**”

### D.2 Concept Paper Format, Content and Instructions

Applicants must write and submit concept papers in accordance with this APS. Failure to do so may result in disqualification of a concept paper. Addenda may contain additional or different format or submission information from this APS. **NOTE:** Instructions in the addenda take precedence over instructions in the APS.

Applicants may submit only one concept paper per addendum but may submit a concept paper to more than one addendum. There is no limit to being included as a potential subrecipient on other applicants’ submissions.

#### Concept Papers Must Comply with the Following or Risk Being Rejected Without Evaluation

- Written in English
- Use standard 8 ½” x 11” page format, single sided, single-spaced, 12-point Calibri or other similar non-serif font, 1” margins all around, left justification and headers on each page other than the first page that include date of submission, organization name and addendum number. Footers shall contain consecutive page numbers after the first page.
- 10-point Calibri or other non-serif font can be used for graphs and charts but must remain legible without magnification. Tables, however, must comply with the 12-point Calibri or other non-serif font.
- Submitted as a searchable and editable PDF file. USAID may later request a word version.
- Files must not be in ZIP format or encrypted.

#### Concept Paper Organization and Content:

- **The first page**

The first page of the concept paper must be the completed Standard Cover Page (Attachment 1).

- **Technical Approach (not to exceed 6 pages)**

In this section, state your understanding of the key needs, challenges, and opportunities to achieve the desired outcomes outlined in the goals and objectives of the addendum. Applicants must provide a preliminary theory of change that is responsive to the needs, challenges, and opportunities identified and that leads to the results outlined in the goals and objectives of each addendum. A preliminary implementation plan must be included to demonstrate how proposed interventions will be carried out. The technical approach must also address how proposed interventions and results will be sustained. The concept paper should describe the expected benefits interventions will produce and how the approach will reduce gender gaps or address the unique needs and interests of women, men, and gender-diverse individuals. A strong concept paper will also include a partnerships strategy or plan that incorporates local partners and alliances. Describe the geographic locations and site selection criteria or identify the regions, provinces, or cities you are proposing to operate under these proposed interventions. Applicants must also consider environment and climate risk mitigation in the application.

**Please Note:** Construction is not anticipated under this APS but could become necessary to facilitate an emergency response to a natural or human made disaster after an award is made. Applicants **must not** include any construction in their concept papers.

- **Management and staffing plan (not to exceed 3 pages)**

State specifically and justify the composition and organizational structure of the entire country-based activity team. It should describe the role of all technical and operational staff, especially key personnel. Key personnel are those whose professional and technical skills are essential for the successful implementation of the contract activity and are directly responsible for management of the award. Applicants must state which positions are key personnel and their qualifications. No more than 5 key personnel are permitted. Applicants should provide a description of the expertise, experience and qualifications of key personnel including how their skills and experience will allow them to provide leadership in addressing technical and administrative aspects required to meet the goals and objectives described in the program description. **Do not provide the names or resumes of potential key personnel.**

Describe the management approach including all the necessary resources to achieve the results described in addenda. Applicants' proposed management approach must be aligned with its technical approach, and must be appropriate, comprehensive, and sustainable for achieving the results of the activity. The management approach must describe the overall structure of the activity, and how it will be managed to ensure efficient use of resources while leveraging partnerships to achieve results. The applicant must explain the roles and responsibilities of subrecipients or partners including a

discussion of how they will be fully integrated into and add value to the award.

The management and staffing plan should describe the reporting relationship among staff and how each staff will contribute to successful implementation of the activity. The plan should specify the role and estimated amount of time each staff member will devote to the activity or specific components within the activity. Support staff from the applicant's central office should be included in this section with a brief description how they will support the activity.

Applicants must provide an organogram of staff (not to exceed two pages) as an annex attached to their concept paper in a single file. This annex is not counted in page limits. Do not submit any other information as an annex, doing so risks the submission to be summarily rejected.

- **Institutional Capability (not to exceed 2 pages)**

Applicants must describe their organization's actual technical and managerial expertise demonstrated in prior relevant work that will directly benefit implementation of this activity. Applicants should also provide evidence of their capacity to respond to common and unusual challenges and widespread emergencies of prior interventions and describe the extent to which the applicant convincingly demonstrates effectiveness in the organization and management of complex development programs related to addendum objectives and a track record of effective partnership and capacity building of stakeholders. Inclusion of prior management of subawards that promoted innovative ideas, processes, and training (as applicable) and partnerships is also important.

**There is no specific format for institutional capability, but applicants should include the following as a minimum.**

- Brief description of organization's history
- Institutional strength as represented by experience in managing successful activities of similar scope and complexity
- Financial management and resources
- Successful integration and monitoring of subrecipients' interventions within awards
- Gender and youth integration in Activities and other successful diversity outreach
- Environmental compliance
- Host country relations
- Cost effectiveness



Applicants should review the merit review criteria in Section E of this APS and in addenda before drafting concept papers to understand how concept papers will be evaluated. Concept papers should demonstrate the technical and managerial capability to implement an award with respect to the merit review criteria. Previous USAID experience is not required for an award.

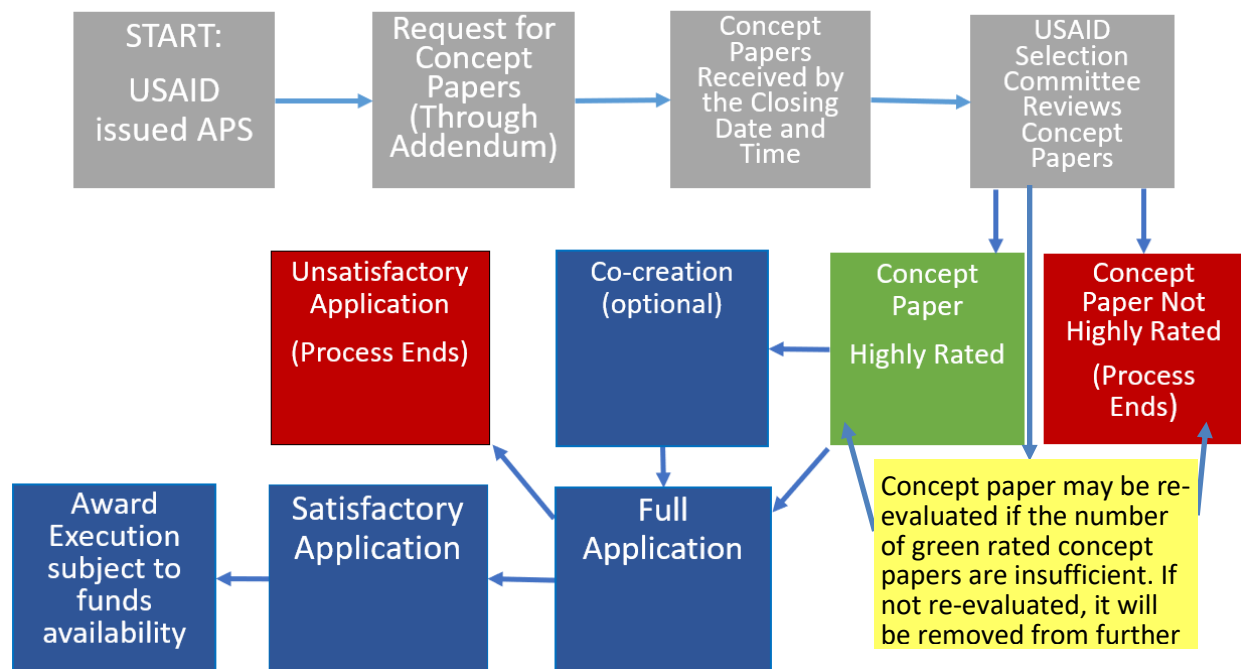
Clarity and specificity are critical. Applicants should become familiar with the USAID/Philippines development portfolio found on <https://www.usaid.gov/philippines>.

USAID/Philippines will confirm receipt of a concept paper. As detailed in the section below, after a concept paper is reviewed, USAID/Philippines will inform applicants whether further discussions are warranted, and, after those discussions, whether a full application or co-creation will be requested or not. The concept paper submission and evaluation process for the APS is summarized below.

### D. 3 Evaluation Process

This APS utilizes a multiphase evaluation process.

The flowchart below is illustrative. Procedural steps may be revised, added, or repositioned depending on the total number of concept papers received and the number of highly rated concept papers received.



#### Phase 1: Concept Paper Evaluation

Applicants may submit a concept paper in response to each addendum but may only submit one concept paper per addendum. Concept papers will be reviewed against the merit review

criteria detailed in Section E of this APS. There are three possible ratings that will result from the concept paper merit review process:

- Rated green – Concept paper was rated highly against the merit review criteria and will move forward to Phase 2.
- Rated yellow – Concept paper was indeterminably rated against the merit review criteria and may be re-reviewed if the number of green rated concept papers are insufficient. Re-reviewed concepts paper will receive either a rating of green or red.
- Rated red – Concept paper was rated poorly against the merit review criteria and will not receive an award nor move forward to any further phase.

## **Phase 2: Co-creation, Full Application, or Additional Information**

USAID/Philippines will request applicants with green rated concept papers to either submit a full application or be part of a co-creation, where applicants, either individually or collectively, work with USAID/Philippines to jointly develop a full application. Depending on the quality and thoroughness of the concept paper, co-creation may be not necessary, in which case, USAID/Philippines may request a full application directly after review of the concept paper. Further details on co-creation, if necessary, will be shared with highly rated applicants and may be specific to the concept paper goals and objectives.

- **Co-creation:** After review of concept papers, USAID may issue an invitation to co-creation meetings with highly rated applicants. Co-creation brings people together to collectively design solutions to specific development challenges. Time-limited and participatory, partners, potential implementers, and end-users define a problem collaboratively, identify new and existing solutions, build consensus around action, and refine plans to move forward with projects and awards. Co-creation may take many forms, such as virtually or in-person, collectively or through single-stakeholder meetings. Co-creation may include a diverse set of stakeholders, allowing for a broad range of relevant perspectives, information, and experience as well as for more equitable distribution of both the responsibility and ownership of outputs across all partners. Alternatively, co-creation may proceed only with the applicants and USAID/Philippines. Additionally, co-creation may proceed with a) one applicant and USAID/Philippines, b) with more than one applicant individually with USAID/Philippines, or c) with more than one applicant collectively with USAID/Philippines. Co-creation may be further divided into multiple phases and may occur at any time during the review and evaluation process. Following successful co-creation, applicants in Phase 2 may be requested to submit a full application. Not all co-creation invitations may result in an award or request for full application. For more information, please check: <https://www.usaid.gov/co-creation-usaid>
- **Full Application:** A full application may be requested from applicants with highly rated concept papers without first engaging in co-creation. Illustrative instructions for full

application submission are included in this APS in Attachment 4 for reference and transparency. USAID reserves the right to make changes to the full application instructions and review criteria. All applicants are encouraged to review these sections to ensure they can meet USAID's requirements for full applications if their concept papers are selected. Please see Section E for details on the full application Merit Review.

- **Additional Information:** USAID/Philippines reserves the right to request additional information from any applicant at any point in the review process before determining an applicant's final Phase 1 or Phase 2 status. This can include asking an applicant to submit responses to questions concerning applications or to present applications orally.

### **Risk Assessment**

USAID may conduct a preaward survey to determine whether a recipient has sufficient systems in place to effectively implement an assistance award. The survey is an opportunity to provide evidence of capabilities and readiness to partner with USAID. This survey is in conjunction with evaluation of the risks posed by applicants before making an award in accordance with the principles established by USAID and the OMB (see 2 CFR 200.205). USAID may commence this assessment while Phase 2 is on-going or wait until Phase 2 has ended but before execution of the final award.

### **Notification**

Applicants with concept papers not advancing to full application, co-creation, or request for additional information may be notified at the discretion of the Agreement Officer.

There are reasons why an applicant may not be successful, for example

- The applicant's program description does not satisfy the criteria, definitions, or objectives provided in the concept paper.
- The full application is not rated as 'Satisfactory' against the Merit Review Criteria.
- The applicant cannot provide evidence that it is a legal entity.
- There are other concerns after conducting due-diligence or pre-award surveys.

**USAID reserves the right to make one award, more than one award or no award in response to any addenda at any stage of the process.**

[End of Section D]

## **SECTION E: APPLICATION REVIEW INFORMATION**

USAID/Philippines will conduct a merit review of all concept papers received that comply with the instructions in this APS and addenda. If there is a difference in instructions between the APS and addenda, instructions in the addenda take precedence.

Concept papers will be evaluated using the merit review criteria below. Full application merit review criteria will be provided to applicants who are requested to submit a full application.

Concept paper merit review criteria below are specific to the requirements of this APS and addenda. Applicants should note these criteria serve to (a) identify the significant issues that applicants should address in their concept papers, and (b) set the standard against which all concept papers will be evaluated.

### **Concept Paper Merit Review Criteria**

**The following merit review criteria are presented in descending order of importance.**

#### **1. Technical Approach**

Extent to which the concept paper demonstrates a thorough understanding of the issues and priorities presented in the addenda and presents a clear, detailed, technically sound, and ambitious yet feasible approach to achieving the goals, objectives and results identified in the addenda.

#### **2. Management and Staffing Plan**

The extent to which the concept paper convincingly demonstrates how its allocation of staff, mobilization plan, Philippine and HQ team structure (local or international), partner strategy and integration of existing USAID and other donor activities in the Philippines will contribute to the successful implementation of its technical approach.

#### **3. Institutional Capability**

The extent to which the concept paper proves its organization's actual technical and managerial expertise as demonstrated in prior relevant work that will directly benefit implementation of this activity, including evidence of their capacity to respond to common and unusual challenges of prior Activities.

[End of Section E]

## **SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION**

### **F. 1 Federal Award Notices**

USAID cannot make awards under this APS until it has appropriated, allocated, and committed funds through internal USAID procedures. While USAID anticipates successfully completing these procedures, potential applicants are notified of these requirements and conditions. The AO is the only individual who may legally commit the USG to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed Award or a specific, written authorization from the AO.

### **F.2 Administration**

Any resulting award(s) from this APS will be administered in accordance with relevant policies and regulations, depending on the type of recipient organization, type of award, and any other relevant factors.

For U.S. NGOs:

- ADS Chapter 303: <https://www.usaid.gov/ads/policy/300/303>
- : <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1>
- 2 CFR 700: <https://www.ecfr.gov/current/title-2/subtitle-B/chapter-VII/part-700>
- Standard Provisions for U.S. Non-governmental organizations:  
<https://www.usaid.gov/ads/policy/300/303maa>

For Non-U.S. NGOs:

- Standard Provisions for Non-U.S. Non-governmental Organizations:  
<https://www.usaid.gov/ads/policy/300/303mab>

For Fixed Amount Awards:

- Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations:  
<https://www.usaid.gov/ads/policy/300/303mat>

For Public International Organizations (PIOs):

- ADS Chapter 308: <https://www.usaid.gov/ads/policy/300/308>

Refer to ADS 308 for Standard Provisions that may be applicable.

The actual Standard Provisions included in an award will depend on the organization that is selected. The award will include the latest Mandatory Standard Provisions and will also contain the “required as applicable” Standard Provisions when such provisions are determined to be applicable. The resulting award will include all standard provisions in full text.

### **Additional Information on Award Administration**

- ADS Chapter 318 Intellectual Property Rights: <https://www.usaid.gov/ads/policy/300/318>

- ADS Chapter 579 USAID Development Data: <https://www.usaid.gov/ads/policy/500/579>
- ADS Chapter 204 Environmental Procedures: <https://www.usaid.gov/ads/policy/200/204>
- USAID Branding webpage: <https://www.usaid.gov/branding>
- ADS Chapter 320 Branding and Marking: <https://www.usaid.gov/ads/policy/300/320>
- Additional Help for ADS 201: Inclusive Development: [https://usaidlearninglab.org/sites/default/files/resource/files/additional\\_help\\_for\\_ads\\_201\\_inclusive\\_development\\_180726\\_final\\_r.pdf](https://usaidlearninglab.org/sites/default/files/resource/files/additional_help_for_ads_201_inclusive_development_180726_final_r.pdf)
- ADS Chapter 205 - Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: <https://www.usaid.gov/ads/policy/200/205>

### F.3 Additional Information

The request for full application will contain additional information, such as the type, frequency, and means of submission of award reporting requirements. Below is a sample of reports that may be required during implementation of an award. Each addendum may have additional reporting requirements unique to the subject matter.

Report / Deliverable	Due Date
Quarterly Financial Reports	Within 15 days after end of each quarter
Final Financial Report	Within 90 days following the expiration of the award
Quarterly Performance Reports	Within 15 days after end of each quarter
Annual Progress Reports	Within 30 days after end of each activity year
Final Report	Within 60 days after completion of the Agreement
Annual Work Plans	Initial Work Plan due within 45 days of the Agreement's effective date. Subsequent Work Plans due by September 1 of each year.
MEL Plan	Within 90 days of the Agreement's effective date
Environment Monitoring and Mitigation Plan	Within 90 days of the Agreement's effective date
Security Plan	Within 90 days of award date
Sustainability and Exit Strategy	Within 90 days of the Agreement's effective date
Grants Manual	Within 90 days of the Agreement's effective date
Communication Strategy	Within 120 days of the Agreement's effective date

Branding Strategy & Marking Plan	Final BSMP approved at the time of award
Gender, Youth, and Social Inclusion Analysis and Strategy	Within 90 days of the Agreement's effective date
Success Stories and Photos/Videos	Integrated into Quarterly Performance Reports, Annual Reports, Final Report, and when as requested by USAID
Technical Reports	As and when developed

**F.4 Program Income**

Program Income earned under awards will be deducted from total allowable costs to determine the net allowable costs in accordance with 2 CFR 200.307(e)(1).

**F.5 Environmental Compliance**

Any resultant awards under this APS will be subject to the Environmental Compliance policy in 22 CFR 216.

[End of Section F]

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

Grace Laspinas

Howard Weston

Agreement Specialist

Agreement Officer

USAID/Philippines

USAID/Philippines

C/O United States Embassy –Philippines

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**Acquisition and Assistance Ombudsman**

The 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](mailto:Ombudsman@usaid.gov)

[End of Section G]



## **SECTION H: OTHER INFORMATION**

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

### Applications with Proprietary Data

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

“This application includes data that must not be disclosed, duplicated or used – 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.”

## **STANDARD PROVISIONS**

The Standard Provisions included awards will be dependent on the organization that is selected (or the type of award, in the case of a fixed amount award). The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations, as appropriate. The award will also contain “required as applicable” Standard Provisions.

The full text of these provisions may be found at:  
<https://www.usaid.gov/ads/policy/300/303maa>,  
<https://www.usaid.gov/ads/policy/300/303mab>, and  
<https://www.usaid.gov/ads/policy/300/303mat>).

[End of Section H]

## **ATTACHMENT 1: CONCEPT PAPER COVER PAGE**

(This page will not be counted towards the page limits)

### **A. Application Overview**

1. **Proposed Activity Name:**
2. **Proposed Period of Performance** (*start date and end date*):
3. **APS addendum Number and Name:**
4. **Submission Date** (*insert application submission date*):
5. **Total Award Amount Requested** (*in USDs*):

### **B. Organization Information**

7. **Organization Name:**
8. **Contact Person** (*name, phone, e-mail*):
9. **Full Address for Organization:**
10. **Type of Organization** (*e.g., US, non-US, multilateral, private, for-profit, non-profit*) *date of incorporation, etc.*):
11. **Name of Partners (if applicable)**

### **C. Obligating Information and Signature**

12. **Name and Title of individual with authority to obligate your organization:**
13. **Signature of individual with authority to obligate your organization:**

**ATTACHMENT 2: DEFINITIONS:**

<p><b>Local Entity</b></p>	<p>An individual, a corporation, a non-profit organization, or another body of persons that: (1) Is legally organized under the laws of; (2) Has as its principal place of business or operations in; (3) Is majority-owned by individuals who are citizens or lawful permanent residents of; and (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country or countries in which the organization primarily will perform this award. For purposes of this provision, “majority owned” and “managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers, or a majority of the organization’s governing body, by any means.</p>
<p><b>Locally Established Partner</b></p>	<p>A U.S. or international organization that works through locally led operations and programming models. LEPs:</p> <ul style="list-style-type: none"> <li>o Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following:       <ul style="list-style-type: none"> <li>o Local staff should comprise at least 50% of office personnel,</li> <li>o Maintenance of a dedicated local office, -</li> <li>o Registration with the appropriate local authorities,</li> </ul> </li> <li>o A local bank account, and       <ul style="list-style-type: none"> <li>o A portfolio of locally implemented programs.</li> <li>o Have demonstrated links to the local community, including:           <ul style="list-style-type: none"> <li>o If the organization has a governing body or board of directors, then it must include a majority of local citizens.</li> <li>o A letter of support from a local organization to attest to its work; and</li> <li>o Other criteria that an organization proposes to demonstrate its local roots.</li> </ul> </li> </ul> </li> </ul>
<p><b>Non-U.S. Organization</b></p>	<p>A foreign organization as defined in 2 CFR 200</p>

<b>Recipient</b>	An organization that receives direct financial assistance (a grant or cooperative agreement) to carry out an assistance program on behalf of USAID, in accordance with the terms and conditions of the award and all applicable laws and regulations.
<b>Non-Local Entity</b>	A partner that does not meet the definition of a Local as defined by USAID’s Automated Directives System (ADS) Chapter 303.
<b>New Partner:</b>	An individual or organization that has not received any funding from USAID as a prime partner over the last five years.
<b>Leverage:</b>	Significant resources mobilized from non-U.S. Government sources. USAID seeks the mobilization of resources of other actors on a 1:2 or greater basis (i.e., 50 percent of the proposed value of the award). Leveraged resources may include grants/awards from non-U.S. Government organizations or other donor governments.
<b>Cooperative Agreement</b>	A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is anticipated.
<b>Grant</b>	A legal instrument used when the principal purpose is the transfer of money, property, services, or anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute, and in which substantial involvement by USAID is not anticipated.
<b>Partner</b>	An organization or individual with which/whom the Agency collaborates to achieve mutually agreed-upon objectives, and to secure the participation of ultimate customers or beneficiaries. Partners include private voluntary organizations, indigenous and international non-governmental organizations (NGOs), universities, professional and business associations, and private businesses and individuals.

<b>Partnership</b>	An association between USAID, its partners, and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed-upon objectives.
<b>Sub-award</b>	An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible sub-recipient, or by a sub-recipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a “contract,” but does not include the procurement of goods and services, nor does it include any form of assistance excluded from the definition of “award” in this section.
<b>Code of Federal Regulations</b>	Code of Federal Regulations, the codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the USG.
<b>co-creation</b>	Co-creation is a design approach that brings people together to produce collectively a mutually valued outcome, by using a participatory process that assumes some degree of shared power and decision-making.
<b>Award</b>	A form of implementing mechanism through which USAID transfers funds to an implementing partner, generally selected through a competitive process that results in a contract, grant, or cooperative agreement.
<b>Country Development Cooperation Strategy or Strategic Framework</b>	The strategy that defines a Mission’s chosen approach in a country and provides a focal point of the broader context for projects and activities. A CDCS presents expected results within a time-defined period, provides a common vision and an organizing framework, and summarizes the status of the ongoing portfolio and how that will be continued, updated, or revised to address new priorities, lessons learned, or changing circumstances.

<b>Gender</b>	A social construct that refers to relations between and among the sexes based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic, and is open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that gender is not interchangeable with women or sex.
<b>Gender Integration</b>	Identifying and then addressing gender inequalities during strategic planning and the design, implementation, monitoring, and evaluation of projects or activities. Since the roles and relations of power between men and women affect how a project or activity is implemented, it is essential that USAID staff address these issues on an ongoing basis. USAID uses the term “gender integration” in planning and programming.
<b>Gender-Sensitive Indicator</b>	Indicators that point out to what extent and in what ways development programs and projects achieved results related to gender equality and whether/how reducing gaps between males/females and empowering women leads to better project/development outcomes.
<b>Implementing Partner</b>	The executing agency (generally a U.S. Government Department or Agency like USAID or a host-government agency) or the implementing entity (contractor, grantee, host government entity, public international organization) that carries out programs with U.S. Government funding through a legally binding award or agreement.
<b>Obligation</b>	A term of appropriations law that means some action that creates a definite commitment, or that creates a legal liability of the U.S. Government for the payment of funds for specific goods or services ordered or received.
<b>Annual Program Statement</b>	Annual Program Statement, a funding solicitation that allows the USG to make multiple awards over a period of time.

<b>Due-Diligence</b>	The technical term for the necessary assessment of the past performance, reputation, and future plans of a prospective alliance partner, private-sector firm, or other entity with regard to various business practices and principles. This assessment of a prospective alliance partner would normally involve, at a minimum, examining their social, environmental, and financial track records.
<b>Fixed-Amount Award</b>	A fixed amount award is a type of grant or cooperative agreement in which USAID provides a specific level of support and for which the Agency does not base payment upon the actual costs incurred by the recipient. This type of Federal award reduces some of the administrative burden and record-keeping requirements for both the non-Federal entity and USAID. Accountability is based primarily on performance and results.

### ATTACHMENT 3: USEFUL RESOURCES

Registering to Work with USAID: Main Step-by-Step Guide: <https://www.usaid.gov/partner-with-us/get-grant-or-contract/trainings-how-work-usaid/registering-workwork-usaid-main-step-by-step-guide>

1. QUICK REFERENCE REGISTERING TO WORK WITH USAID U.S.-Based Partners: [https://www.usaid.gov/sites/default/files/2022-12/USAID\\_NPI\\_QRG\\_RegisteringtoWork-US\\_5-25-22.pdf](https://www.usaid.gov/sites/default/files/2022-12/USAID_NPI_QRG_RegisteringtoWork-US_5-25-22.pdf)
2. QUICK REFERENCE REGISTERING TO WORK WITH USAID Non-U.S.-Based Partners: [https://www.usaid.gov/sites/default/files/2022-12/USAID\\_NPI\\_QRG\\_RegisteringtoWork-NON-US\\_5-25-22.pdf](https://www.usaid.gov/sites/default/files/2022-12/USAID_NPI_QRG_RegisteringtoWork-NON-US_5-25-22.pdf)
3. OBTAIN A UNIQUE ENTITY IDENTIFIER (UEI): <https://sam.gov/content/home>

## ATTACHMENT 4: ILLUSTRATIVE EXAMPLE OF FULL APPLICATION INSTRUCTIONS

**NOTE: USAID/PHILIPPINES IS NOT REQUESTING THE INFORMATION BELOW AT THIS TIME NOR WILL IT BE REQUESTED FOR ANY ADDENDA.**

**ONLY THE MOST HIGHLY RATED APPLICANTS MAY BE REQUESTED TO SUBMIT A FULL APPLICATION FOLLOWING REVIEW OF CONCEPT PAPERS.**

**THIS INFORMATION IS ILLUSTRATIVE AND MAY BE REVISED. IT IS NOT EXHAUSTIVE AND MAY BE SUPPLEMENTED WITH ADDITIONAL INFORMATION AS REQUIRED BY USAID ADS 303, 2 CFR 200, AND 2 CFR 700, AS APPLICABLE. APPLICANTS WHO ARE ASKED TO SUBMIT A FULL APPLICATION WILL BE ADVISED IN ADVANCE OF ANY CHANGES TO THE REQUIREMENTS.**

**Full Applications Consist of Two Parts: A Technical Application and a Cost Application.**

### **Organization of the Technical Application**

The applicant must organize the Technical Application in the following manner: Page numbers are maximums.

- a. Cover Letter (1 page)
- b. Table of Contents (1 page)
- c. Executive Summary (2 pages)
- d. Technical Approach (15 pages – Described below)
- e. Management and Staffing Plan (5 pages – Described below)
- f. Institutional Capability (5 pages – Described below)
- g. Past Performance Information and References
- h. Annexes (do not count toward the total page count):
  - Annex 1: Organizational Chart(s) (maximum 2 pages)
  - Annex 2: Gender Equality and Social Inclusion Analysis
  - Annex 3: Climate Risk Management

The Technical Application is limited to 25 pages, excluding required documents indicated below.

### **Technical Application**

#### **(d) Technical Approach**

Applicants should present an innovative technical approach that describes the overall strategy and specific implementations proposed by the applicant and how the implementations link to the Goal, IRs including cross cutting IRs in the results matrix listed in the addendum. The technical approach must demonstrate an in-depth understanding of the background and development challenges in the Philippines related to goals and *objectives of the addendum*. The technical approach must present a realistic assessment of opportunities to link this activity and synergize with other USAID funded projects with a strong focus on sustainable results.



Applicants are encouraged to propose an innovative yet realistic approach that is most appropriate in the context of the Philippines. The technical approach should include:

- An Outline of all program elements, with a clearly articulated vision of proposed results.
- A demonstrated understanding of the issues to be addressed, including recommendations for prioritization.
- Presentation of challenges to success and mitigation strategies.
- Illustrative list of activities and proposed indicators.
- Approach to Collaborating, Learning, and Adapting (CLA).
- Criteria for selecting beneficiaries and an illustrative list of partners, as well as benchmarks that would signify graduation from assistance.
- An exit strategy for the phase-out and sustainability of activities.
- Creative use of new technology, innovative tools and lessons learned.
- Substantive attention to private sector engagement; gender, youth, and social inclusion; and other cross-cutting themes under the USAID Mission Strategy; and
- The applicant's capability to address gender gaps and empower women and youth. It will also illustrate how the organization is structured to ensure that gender disparities will be deliberately and adequately addressed in programming.

#### **(e) Management and Staffing Plan**

A description of the applicant's proposed management approach including all necessary resources to achieve the results described in Section A of this APS. The applicant's proposed management approach must be aligned with its technical approach, and must be appropriate, comprehensive, and sustainable for achieving the results of the activity. The management approach must describe the overall structure of the activity, and how it will be managed to ensure efficient use of resources while leveraging partnerships to achieve results. The applicant must identify all proposed subrecipients, and explain their roles and responsibilities, including a discussion of how they will be fully integrated into and add value to the implementation of the activity.

There is no specific structure required of the management plan, but applicants are encouraged to include at a minimum the following:

- State specifically and justify the composition and organizational structure of the entire country-based activity team. It should describe the role of all technical and relevant operational staff, especially key personnel. It shall describe the reporting relationship among staff and how each staff will contribute to successful implementation of the activity. The plan should specify the role and estimated amount of time each staff member will devote to the activity or specific components within the activity. Support staff from the applicant's central office should be included in this section with a brief description how they will support the activity. Delineation of roles, responsibilities, authority, and processes for decision making within applicant's in-country team and between the home office and the field should be clearly outlined. In the Annex Section, the applicant shall provide an organogram of staff.

- A mobilization plan within the management and staffing plan must present how the applicant will launch activities immediately after receiving an award and provide a step-by-step timeline of actions for the first six months of activity implementation.
- State which positions will be key personnel. Applicants may propose up to five key personnel. It is imperative that the mobilization plan describe qualifications and responsibilities of key personnel and especially recruiting efforts for all key personnel carried out prior to submission of the application and planned to continue after submission. Results of recruiting efforts must be included in the mobilization plan but names and resumes of key personnel shall not be included and will not be considered. Names and resumes of key personnel will be requested only of the Apparently Successful Applicant (ASA) and must be submitted as soon as possible, or the ASA may risk being deselected as the ASA. However, approval of key personnel will take place after award.
- Potential partners in the implementation of the award and the services to be provided by each partner institution or organization shall be described. Applicants shall describe the process of identifying and supporting sub awardees, if any. Applicants must also specify the technical resources and expertise of proposed sub awardee organizations, if any.
- Applicants should indicate how they would work with the private sector to share knowledge with government and civil society partners for more effective, sustainable conservation results.
- The management plan should also describe how the applicant would coordinate its implementation with other Activities of USAID/Philippines and other donors.
- Proposed field management structure and financial controls.
- Home office backstopping and its purpose.

**(f) Institutional Capability**

Applicants must present clearly demonstrated institutional experience and capability related to the technical approach and proposed activities. Applicants must describe their relevant experience and technical expertise as it relates to each addendum. Applicants must demonstrate their contextual knowledge and understanding of current challenges and policy based on their previous experience in the topics covered under each addendum. Applicants must describe their organization's capacity and ability to begin implementation rapidly if successful in their application. The information presenting the capabilities of the implementing organization(s) and of the individuals to be assigned should clearly identify the pertinent work experience and accomplishments in developing and conducting activities of the type being proposed, as well as the specialized skills, professional competence, academic training, and relevant achievements of the personnel.

If the applicant is an international organization, the application must describe their experience in providing capacity strengthening support to local organizations.

If the applicant is a local organization, the applicant must describe their experience in working with a donor organization or international NGO in a consortium or as a subrecipient. Also please describe any capacity strengthening support that has been provided, either through USAID or other donor organizations.

**(g) Past Performance Information and References**

Applicants must submit a past performance table listing up to 5 contracts, grants, or cooperative agreements involving similar or related programs during the past three years. Past performance tables can be submitted as an annex not counted in the page limit for the technical application. If the applicant has no history of past performance, they must state that fact.

Information for past performance must include the following:

Name of awarding organization or agency

- Address of awarding organization or agency
- Place of performance of services or program
- Award number
- Amount of award
- Period of Performance (begin and end dates of services/program)
- Name, telephone number and email address of two responsible technical representatives of the awarding organization or agency who have direct and substantial knowledge of the award
- Description of the work
- Audit or performance findings, cause and mitigation, and awards received for exceptional service delivery

Similar information must be provided for every partner organization proposed in the application whose cost is 15% or more of the total proposed activity cost.

**(h) Annexes**

Please note that the Annexes do not count towards the total page count of the Technical Approach. The maximum page total for each Annex is outlined below:

**Annex 1 Organizational Charts (not to exceed 2 pages)**

To support the applicant's Management Approach and Staffing narratives, the applicant must provide an organizational chart to the technical application. The organizational chart must be aligned with the applicant's proposed approach and must show reporting lines for all proposed

staff, and subrecipients, the location of work (central or field office), and proposed level of effort, including any limited home office support.

**Annex 2 Gender Analysis (not to exceed two pages)**

**Annex 3 Climate Risk Management (not to exceed two pages)**

**MERIT REVIEW CRITERIA FOR FULL APPLICATIONS WILL BE PROVIDED TO APPLICANTS WHO HAVE SUCCESSFULLY PASSED PHASE 1 AND HAVE BEEN REQUESTED TO SUBMIT A FULL APPLICATION.**

**Cost Application Instructions**

**Applicants, please note that a full Cost Application should NOT be submitted with a concept paper, these instructions are ONLY for applicants who have been asked to submit a full application.**

The cost application is to be submitted as a separate attachment from the Technical Application. While there is no page limit to the Cost Application, applicants are encouraged to limit their Budget Narrative submission to 15 pages. The Cost Application must illustrate the full period of performance using the budget format shown in the SF-424A.

**Please Note:** Construction is not anticipated under this APS but could become necessary to facilitate an emergency response to a natural or human made disaster after an award is made. Applicants **must not** include any budget for construction.

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

The Cost Application must contain the following sections:

- 1) Cover Page
- 2) SF-424 Forms
- 3) Budget and Budget Narrative
- 4) Approval of Subawards
- 5) SAM.gov Registration
- 6) Certifications, Assurances, and Other Statements of the Recipient

For apparently successful applicants, when requested by the AO:

- 7) History of Performance

## 8) Branding Strategy & Marking Plan

Detailed instructions are as follows:

### 1) Cover Page

The Cost Application Cover Page must contain the same information as the Technical Application Cover Page, see Attachment 1.

### 2) SF-424 Form(s)

The applicant must submit the application using the SF-424 series:

- SF-424
- SF-424A
- SF-424B

Forms and instructions can be found at the following link: <https://www.grants.gov/forms/sf-424-family.html>.

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

### 3) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable. Please see D.4.2 for instructions on Budget Narrative page length. Construction is not anticipated under this APS.

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

a) Summary Budget, following the guidance and format laid out in this section, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-recipients for the entire period of the project.

b) Detailed Budget, including a breakdown by year, by budget category, by budget line items, and by headquarters, regional and/or country offices (if applicable) for all federal funding (core and field support) and cost share and/or resource leverage for the entire implementation period of the project.

c) Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by year, by budget category, by budget line items, and by headquarters, regional, and/or country offices (if applicable) for the entire implementation period of the project.

### **Budget Categories**

The detailed budgets must contain the following budget categories and information, at a minimum:

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

quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness considering such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

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

Method 1 - Direct Charge Only

Eligibility: Any applicant

Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

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

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

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

Eligibility: Any applicant that has never received a NICRA

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

indirectly vs. directly. See 2 CFR 200.414(f) for further information.

#### Method 4 - Indirect Costs Charged as A Fixed Amount

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

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

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

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

8. Cost Sharing – The applicant should estimate the amount of cost-sharing resources to be provided over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting award.

#### **Prior Approvals in accordance with 2 CFR 200.407**

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

#### **4) 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
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

#### **5) Unique Entity Identifier (UEI) and SAM Registration**

Applicants must obtain a Unique Entity Identifier (UEI) and register in the System for Award Management (SAM) (<https://sam.gov/>) in order to be eligible to receive federal assistance, such as grants and cooperative agreements. Unless an exemption applies (see ADS 303maz), applicants must be registered in SAM prior to submitting an application for award for USAID's consideration. Recipients must maintain an active SAM registration while they have an active award. Each applicant (unless the applicant is an individual or entity that is exempted from UEI/SAM requirements under 2 CFR 25.110) is required to:

1. Provide a valid UEI for the applicant and all proposed sub-recipients.
2. Be registered in SAM before submitting its application.
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

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

Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video, on <https://sam.gov/>.

## **6) Required Certifications and Assurances**

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

- (1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at <https://www.usaid.gov/sites/default/files/2022-12/303mav.pdf>
- (2) Assurances for Non-Construction Programs (SF-424B)
- (3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

## **7) Branding Strategy & Marking Plan**

The apparently successful applicant, when requested by the AO, will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the AO and incorporated into any resulting award.

## **8) Funding Restrictions**

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the AO.

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 this APS and must meet the source and nationality requirements set forth in 22 CFR 228.

## **9) Potential Request for Additional Documentation**

Upon consideration of award or during the negotiations leading to an award, applicants may be required to submit additional documentation deemed necessary for the AO to make an affirmative determination of responsibility. Applicants should not submit the information below with their applications. The information in this section is provided so that applicants may become familiar with additional documentation that may be requested by the AO. The information submitted should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.
2. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The applicant should provide copies of the same.

[End of Attachment 4]

[End of APS]