TRAINING ON BUSINESS DEVELOPMENT: FUNDING OPPORTUNITIES FROM USG

Presenter: Rebecca Boler, BD Consultant

Date: September 10-11, 2024

ASAP II

ACCELERATING SUPPORT TO ADVANCED LOCAL PARTNERS II

AGENDA

DAY 1	
8:30 AM	WELCOME AND OVERVIEW OF ASAP II
8:45 AM	MODULE 1: TRAINING OPENING/INTRODUCTION
9:00 AM	MODULE 2: OVERVIEW OF BUSINESS DEVELOPMENT
9:30 AM	MODULE 3: PRE-SOLICITATION PREPARATION
10:15 AM	MODULE 4: LIVE PROPOSAL KICK OFF
DAY 2	
8:30 AM	MODULE 5: PROJECT DESIGN AND TECHNICAL AND BUDGET PROPOSAL DEVELOPMENT
10:00 AM	MODULE 6: POST-SUBMISSION PHASE
10:30 AM	FINAL Q&A AND WRAP UP

MODULE 1:
TRAINING OPENING/INTRODUCTIONS

Introductions and Q&A

Chat: Using the chat box, please introduce yourself with the following information: Name, Title, Organization, City and Country. Please also use the chat to share any of your ideas/experiences and talk with other participants.

Q&A: if you have questions during the presentation, please type them into the Q&A box – we will pause after each Module to answer questions.

1.1 OVERALL LEARNING OBJECTIVES

Overall Learning Objectives:

By the end of this training, participants will have:

- Increased their awareness of how the United States Government (USG) announces and solicits proposals or applications for funding opportunities, with a focus on the United States Agency for International Development (USAID) and the President's Emergency Fund for AIDS Relief (PEPFAR);
- Improved their understanding of the proposal development process from pre-solicitation (capture) to post-submission (donor feedback and after-action reviews) – with a focus on solicitations from USG funding agencies such as USAID; and
- Strengthened their knowledge of key considerations, components, and criteria of successful proposals for USG-funded international development programming.

1.2 TRAINING CURRICULUM OUTLINE

INTRODUCTION

Overview of ASAP II & Business Development Training Manual

This section briefly introduces ASAP II, and the purpose, audience, structure, and content of the Business Development Training Manual.

MODULE 1

Training Opening/Introduction

This module lays out the preparatory measures, ground rules, training delivery methods, training objectives, organization of manual and training curriculum, and participant assessment.

MODULE 2

Overview of Business Development

This module focuses on business/proposal development in the context of USG funding and the mechanism/process for issuing USG funds.

MODULE 3

Pre-solicitation Preparation

This module revolves around ways to identify funding opportunities, decide whether to pursue and then capture the opportunity, and form a winning consortium.

TRAINING CURRICULUM OUTLINE (CONT.)

MODULE 4

Live Proposal Kick-Off

This module provides a step-by-step guide for all processes of a winning proposal, from getting organized to understanding the donor and requirements of the solicitation, proposal kick-off meeting, preliminary steps before winning the proposal to gathering the necessary information.

MODULE 5

Project Design and Technical and Budget Proposal Development

This module covers the project design and proposal development process, from developing technical and cost proposals to providing tips and considerations for strong and compliant proposal packages, proposal review, editing, finalization, and submission, to discussing the theory of change, logic model, and results framework, root cause analysis, management and staffing plan, monitoring, evaluation, and learning (MEL) plan, organizational capacity, history of performance, and budget.

MODULE 6

Post-submission

This module elaborates on the post-proposal submission actions, including the need to revise the proposal or answer donor questions, analyze any feedback obtained from partners and donors, and learn from the proposal development experience for future proposal development.

MODULE 2:
OVERVIEW OF BUSINESS DEVELOPMENT

1

2.0 OVERVIEW OF BUSINESS DEVELOPMENT

Learning Objectives:

- Acquire a basic knowledge of key terms and concepts around BD and proposal development;
- Understand the types of funding opportunities that PEPFAR/USAID and other USG agencies tend to release that are eligible for LIPs; and
- Be aware of the main phases in the solicitation/proposal development process.

This module covers:

1) Business Development/Proposal Development in the Context of USG Funding for LIPs, and
2) Overview of Mechanism and Process for Issuing USG Funding.

2.1 PROPOSAL DEVELOPMENT FOR USG FUNDING

USG funding opportunities for LIPs

- The USG's relatively new Local Capacity Strengthening (LCS) Policy and Locally-Led Development (LLD) agenda aim to increase the proportion of funding going directly to local organizations.
- There is therefore greater opportunity for local organizations to become Prime Recipients of USAID and other USG funding agencies than in the past.
- Strengthening your Business Development (BD) skills and systems will better position you for such opportunities.

WHAT IS BUSINESS DEVELOPMENT (BD)?

- BD is the process of **implementing partnership strategies and pursuing funding opportunities across your organization to promote growth and boost revenue**. It involves:
  - identifying new prospects for maintaining and growing an organization's presence and portfolio;
  - establishing both long-term strategic partnerships and project/proposal-specific partnerships;
  - converting contacts and leads into donors or partners; and
  - pursuing projects and programs that enable your organization to deliver on its mission and vision.
- BD is a critical first step of PEPFAR/USAID program development and implementation.

PROPOSAL DEVELOPMENT

- Proposal development is a key component of Business Development. It entails:
  - Identifying potential opportunities and tracking them;
  - Conducting pre-positioning/capture efforts to prepare for a notification of a funding opportunity (NOFO) to be released by the donor;
  - Designing the project, developing the proposal, and submitting the package; and
  - Debriefing on the proposal process (post-action review) as well as the feedback from the donor (whether it was a win or loss).
- BD is broader than proposal development. This training focuses mainly on the latter, with an emphasis on USAID/PEPFAR funding opportunities.

2.2 OVERVIEW OF MECHANISMS AND PROCESS FOR ISSUING USG FUNDING

Non-Competitive

Transition awards:

- A bridge between subaward and prime awards.
- An existing Prime partner will support a subaward and include capacity strengthening with a gradual transfer of resources and responsibilities.

Competitive

There are various stages and types based on the selection of the award mechanism.

Multi stages:

1. Request for Information (RFI)
2. Expression of Interest (EOI)
3. Notice of Opportunity for Funding (NOFO)
4. Request for Applications (RFA)
5. Request for Proposal (RFP)

REQUEST FOR INFORMATION

- RFIs are typically used when USAID is in the early stages of planning procurement and wants to gather information to help define its requirements or understand what solutions are available. RFIs:
  - Enable the donor to gauge the pool of valid candidates;
  - Provide the donor with ideas and information that will inform the design of the final RFA/RFP; and
  - Result in an initial shortlisting of applicants that will be invited to respond to the final solicitation.
- Responding to an RFI does not constitute a bid or proposal. Instead, it allows vendors to provide information about their offerings and capabilities, which may inform the agency's decision-making process.

EXPRESSION OF INTEREST

An Expression of Interest (EOI) is an opportunity to showcase your qualifications.
It contains:

- General Information and Contact Person
- Type of organization
- Brief information that describes your organization's capability and interest in implementing the USAID activity to achieve the objectives
- Past Performance:
    - Describe your experience working in this subject area and working with relevant stakeholders.
    - Duration of past activities and scale of projects/budget
    - Information on the populations reached in activities.

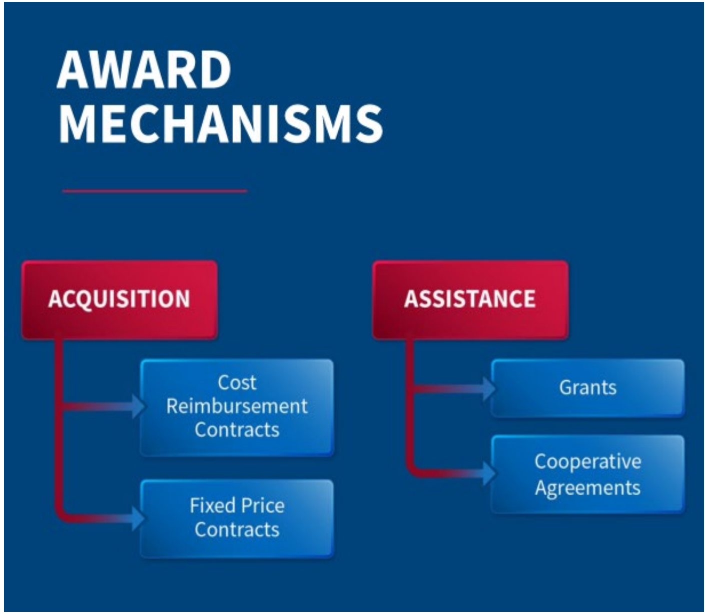
COMPETITIVE PROCESS FOR ISSUING USG FUNDING

Notice of Funding Opportunity (NOFO) and **Request for Applications (RFA)**

A call for applications that will result in a grant or cooperative agreement, for an **assistance award.**

Request for Proposals (RFP)

A call for proposals that will result in a contract; in other words, a bid for an **acquisition award.**



Source: WorkwithUSAID

REQUEST FOR APPLICATIONS

- An RFA is a type of solicitation used primarily by grant-making agencies to invite organizations or individuals to apply for funding to support specific projects or initiatives.
- RFAs typically outline the objectives of the funding opportunity, eligibility criteria, application requirements, funding amounts, and evaluation criteria.
- Applicants respond to an RFA by submitting a formal application that describes their proposed project or program, how it aligns with the objectives of the funding opportunity, budget details, and other relevant information.
- The agency reviews the applications based on the criteria specified in the RFA and awards funding to the applicants whose proposals best meet the agency's goals and priorities.

REQUEST FOR PROPOSAL

- An RFP is a formal solicitation document used by a government agency to solicit proposals from potential vendors or contractors for a specific project or requirement.
- RFPs typically include detailed specifications, requirements, evaluation criteria, and instructions for submitting proposals.
- Vendors or contractors respond to an RFP by submitting a formal proposal that outlines how they would meet the agency's requirements, including technical approaches, pricing, schedules, and other relevant information.
- The agency evaluates the proposals based on the criteria specified in the RFP and selects the proposal that offers the best value or meets its needs.

THE SOLICITATION/PROPOSAL DEVELOPMENT PROCESS

- The solicitation/proposal development process occurs as follows:
  1. Pre-solicitation Preparation **(Module 3)**
  2. Live Proposal Kick-Off **(Module 4)**
  3. Project Design and Technical and Budget Proposal Development **(Module 5)**
  4. Post-submission Phase **(Module 6)**
- Each module consists of multiple steps explained in detail in subsequent slides.

Q&A

MODULE 3:
PRE-SOLICITATION PREPARATION

3.0 PRE-SOLICITATION/ PREPARATORY PHASE

Learning Objectives:

- Be aware of various sources of funding and be able to access existing USG resources to identify opportunities;
- Understand the key considerations for "go/no-go" decision-making;
- Appreciate the need for early preparation for solicitations and how pre-positioning/capture work can increase your chances of a successful proposal (at the next stage); and
- Be better positioned to form a winning consortium.

This module covers:

1) Funding Opportunity Identification,
2) Deciding whether to Pursue the Opportunity,
3) Pre-positioning/Capture Work, and
4) Forming a Winning Consortium.

3.1 OPPORTUNITY IDENTIFICATION

There are multiple ways to identify potential funding opportunities from USAID, and other USG agencies and donors: formal and informal

Formal:

- Check https://www.workwithusaid.gov/ and https://www.sam.gov for funding opportunities.
- Check www.grants.gov for grant and cooperative agreement (assistance) opportunities.
- Follow the USAID Business Forecast at https://www.usaid.gov/business-forecast.
- Visit websites or other media platforms of donors, foundations, corporations, INGOs, and other sources of funding/partnerships
- Become familiar with USAID's Country Development Cooperation Strategy (CDCS) for your country accessible at https://www.usaid.gov/results-and-data/planning/country-strategies-cdcs.

Informal

- Find out about opportunities via word-of-mouth within your networks (colleagues, donors, stakeholders, etc.).
- Visit professional colleagues' Facebook or LinkedIn accounts.

FOLLOW THE USAID BUSINESS FORECAST (1)

USAID FROM THE AMERICAN PEOPLE

What We Do | Where We Work | Results and Data | Partner with Us | About Us | Careers

Business Forecast Search Links

Home › Business Forecast Search Links

Use the **"Filter Opportunities"** form below to search for current business opportunities.

- To browse all available opportunities, click the **Search** button without changing any of the search fields.
- To include opportunities that match all options in a particular filter, leave all of the checkboxes in that group unchecked. For example, if no **Sector** checkboxes are checked, then opportunities matching any **Sector** will be included.

Filter Opportunities

286 results

Title

A&A Plan Id

Operating Unit
Choose options

Sector
Choose options

Small Business Set Aside
Choose options

Award Type
Choose options

TEC Range
Choose options

Solicitation Date
mm/dd/yyyy

Start Date
mm/dd/yyyy

POC

NAICS

FY
- Any -

SEARCH
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FOLLOW THE USAID BUSINESS FORECAST (2)

TBD

Plan Id: AA-323219

Fiscal Year Of Award: 2023

Last Modified Date: 10/30/2022

Operating Unit: South Africa

Sector: HIV/AIDS (More than 50% funded by PEPFAR)

A&A Specialist Name: N. Mangqalaza

Eligibility Criteria: TBD

Principal Geographic Code: 935 - Worldwide (Including Cooperating Country)

Award Action Type: To Be Determined (TBD)

Category Management Contract Vehicle: N/A

Small Business Set Aside: TBD

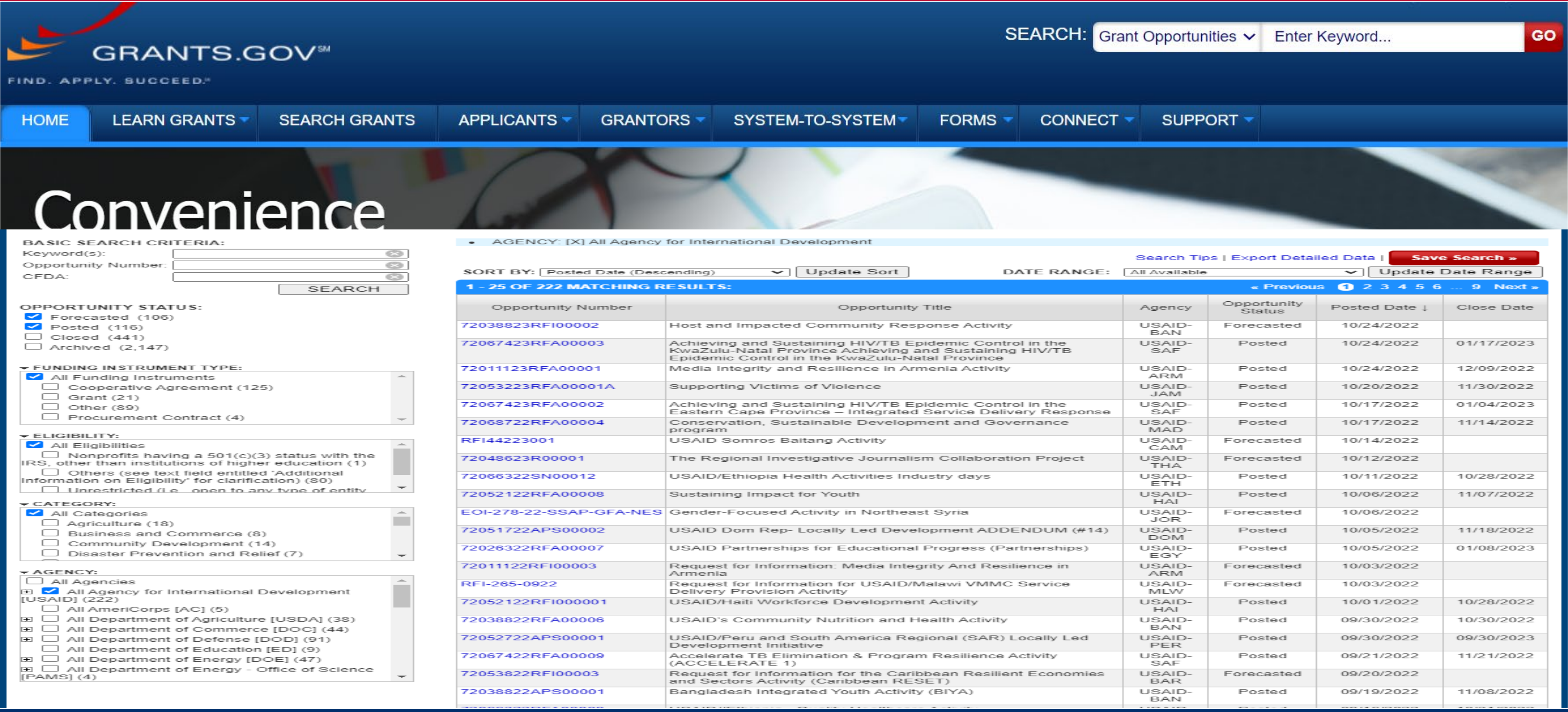
Cocreation: TBD

Anticipated Solicitation Release Date	Anticipated Start Date	Total Estimated Cost
9/30/2023	9/30/2024	$25M - $49.99M

Change Log

10/12/2022 08:53 AM EST - Added Co-creation TBD Added Principal Geographic Code 935 - Worldwide (Including Cooperating Country)

CHECK GRANTS.GOV



Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date ↓	Close Date
72038823RFI00002	Host and Impacted Community Response Activity	USAID-BAN	Forecasted	10/24/2022	
72067423RFA00003	Achieving and Sustaining HIV/TB Epidemic Control in the KwaZulu-Natal Province Achieving and Sustaining HIV/TB Epidemic Control in the KwaZulu-Natal Province	USAID-SAF	Posted	10/24/2022	01/17/2023
72011123RFA00001	Media Integrity and Resilience in Armenia Activity	USAID-ARM	Posted	10/24/2022	12/09/2022
72053223RFA00001A	Supporting Victims of Violence	USAID-JAM	Posted	10/20/2022	11/30/2022
72067423RFA00002	Achieving and Sustaining HIV/TB Epidemic Control in the Eastern Cape Province – Integrated Service Delivery Response	USAID-SAF	Posted	10/17/2022	01/04/2023
72068722RFA00004	Conservation, Sustainable Development and Governance program	USAID-MAD	Posted	10/17/2022	11/14/2022
RFI44223001	USAID Somros Baitang Activity	USAID-CAM	Forecasted	10/14/2022	
72048623R00001	The Regional Investigative Journalism Collaboration Project	USAID-THA	Forecasted	10/12/2022	
72066322SN00012	USAID/Ethiopia Health Activities Industry days	USAID-ETH	Posted	10/11/2022	10/28/2022
72052122RFA00008	Sustaining Impact for Youth	USAID-HAI	Posted	10/06/2022	11/07/2022
EOI-278-22-SSAP-GFA-NES	Gender-Focused Activity in Northeast Syria	USAID-JOR	Forecasted	10/06/2022	
72051722APS00002	USAID Dom Rep- Locally Led Development ADDENDUM (#14)	USAID-DOM	Posted	10/05/2022	11/18/2022
72026322RFA00007	USAID Partnerships for Educational Progress (Partnerships)	USAID-EGY	Posted	10/05/2022	01/08/2023
72011122RFI00003	Request for Information: Media Integrity And Resilience in Armenia	USAID-ARM	Forecasted	10/03/2022	
RFI-265-0922	Request for Information for USAID/Malawi VMMC Service Delivery Provision Activity	USAID-MLW	Forecasted	10/03/2022	
72052122RFI000001	USAID/Haiti Workforce Development Activity	USAID-HAI	Posted	10/01/2022	10/28/2022
72038822RFA00006	USAID's Community Nutrition and Health Activity	USAID-BAN	Posted	09/30/2022	10/30/2022
72052722APS00001	USAID/Peru and South America Regional (SAR) Locally Led Development Initiative	USAID-PER	Posted	09/30/2022	09/30/2023
72067422RFA00009	Accelerate TB Elimination & Program Resilience Activity (ACCELERATE 1)	USAID-SAF	Posted	09/21/2022	11/21/2022
72053822RFI00003	Request for Information for the Caribbean Resilient Economies and Sectors Activity (Caribbean RESET)	USAID-BAR	Forecasted	09/20/2022	
72038822APS00001	Bangladesh Integrated Youth Activity (BIYA)	USAID-BAN	Posted	09/19/2022	11/08/2022

UEI NUMBER

- You won't be able to receive USG funding without a unique entity identifier (UEI).
- If your organization doesn't already have a 12-digit UEI number, visit https://sam.gov/content/home, an official website of the USG that new LIPs can use to register.

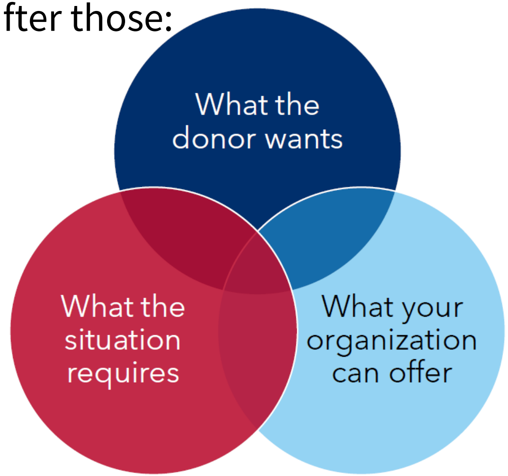
ELIGIBILITY CONSIDERATIONS

- USG funding opportunities can be open to all kinds of organizations, or they might be restricted to INGOs or local organizations. (The NOFO will specify.)
  - **Be sure to confirm your eligibility and only track/pursue opportunities that you qualify for.**
- Often, even if an opportunity is open to all kinds of organizations (INGOs and local organizations), extra points will be awarded to LIPs.
  - In cases where the scoring/evaluation criteria favor LIPs, you will have an advantage over INGOs.

3.2 DECIDING TO PURSUE THE OPPORTUNITY

Importance of prioritization

- It is not feasible, nor a good use of your organization's resources, to pursue every opportunity you qualify for.
- It takes precious resources (especially staff time) to pursue an opportunity, so the potential return on investment (ROI) must be worth the effort.
- Be strategic when deciding which opportunities to pursue; only go after those:
  - That align with your mission, vision, and values;
  - For which you have a strong chance of winning;
  - For which you have the capacity (i.e., adequate resources and availability) to deliver a quality proposal.



KEY CONSIDERATIONS TO MAKE A "GO" OR "NO GO" DECISION

Is the opportunity:

- Within your experience/expertise? If there are any gaps in your expertise, geographic presence, etc., are there partners you can work with to fill them?
- Strategic for the growth/expansion of your organization and its mission?
- Being awarded through a mechanism that your organization can implement?
- Presenting any risks? If so, can those risks be mitigated?
- Feasible and realistic to secure? In other words, does your organization have adequate time and resources to pull together a high-quality proposal? And is there a good chance of winning?

If the answer is YES move to the next phase…

If the answer is NO, consider approaching an organization which is applying to be a subpartner.

3.3 PRE-POSITIONING/CAPTURE WORK

Importance of early preparation (pre-solicitation)

- Early preparation for bids is key! It’s a critical factor for a successful proposal.
- Usually, USAID will only give 30-45 days (4-6 weeks) to respond to an RFA/RFP from the date the NOFO is released.
- Refer to the business forecast and any intel you can gather through your networks, to undertake preparatory work well in advance of the solicitation going live.
- Pre-planning work can even start weeks, months, or even years in advance.

INTRODUCTION TO PRE-POSITIONING/CAPTURE

What is it? A process that starts once a "go decision" is made and continues until the opportunity is released (for competitive opportunities).

What does it consist of?

- Thorough assessment of the opportunity and local needs/priorities
- Analysis of the competition and potential partners
- Assessment of your organization's technical capabilities

To then inform and begin:

- Development of your strategy to resource the proposal effort and identify your proposal team;
- Development of your partnering strategy and beginning to form your consortium;
- Development of your initial technical, management, and budgeting strategies;
- Recruitment of your key personnel; and
- Possibly also writing certain sections (e.g., country context/background, corporate capabilities statement, past performance records [PPR], etc.)

EXAMPLE OF PRE-POSITIONING/CAPTURE

- If you know a USAID-funded, INGO-led cooperative agreement is scheduled to end in a year from now and you've heard that there will be a follow-on award that's only eligible to local organizations as Prime recipients, start to position yourself to apply for the follow-on.
- That can include:
  - Seeking information on the key problem and priorities of the target population and zone;
  - Finding out the strengths and weaknesses of the incumbent as well as what approaches were successful and should be maintained/scaled up in the follow-on;
  - Getting intelligence on potential competitors and thinking about your competitive advantages and unique selling points ;
  - Establishing or strengthening partnerships, including exploring options for consortium members and implementing partners/subrecipients;
  - Starting to head-hunt for strong key personnel to consider for your project team.

3.4 FORMING A WINNING CONSORTIUM

Project Partnerships

- Very few USG-funded projects are implemented by a single organization.
  - Typically, the Prime recipient will be responsible for the overall management of the award yet will form a team of consortium partners who will collaboratively deliver the project.
  - The Prime recipient may also select a set of subrecipients to support implementation for specific technical areas, target populations or geographic zones.
- Usually a “one-team” approach is appreciated by USG (streamlined project org chart, shared project office space, project steering committee and/or senior management team with representation from all consortium members, etc.), as that approach has strong potential for effective coordination and greater cost efficiencies.

HOW TO IDENTIFY POTENTIAL PARTNERS?

- Research current implementers with USAID and other donors.
- Leverage your networks (employees, former colleagues).
- Attend industry-sponsored events (technical working groups [TWGs], project close-out events, etc.).
- WorkwithUSAID.org - a resource hub for new, current, and future local and international partners to navigate working with USAID.

Be strategic about the number of partners you select.

Weigh the cost and benefits, as a large number can be burdensome to manage/coordinate and may be an inefficient use of USG resources.

CONSIDERATIONS FOR PARTNER SELECTION

- Role on the project and value-add they will bring. Consider the partner type:
  - Technical assistance (TA) provider
  - Service delivery/implementing partner
  - Resource partner (to occasionally call upon for niche support, but no formal commitment, subaward or consortium role)
- Complementary vs. overlapping skills/expertise (among all partners)
- Their reputation/credibility (especially from the donor's perspective)
- Geographic coverage/presence
- Local experience and knowledge of the local terrain
- History of positive, relevant performance
- Strategic influence

PROCESS FOR FORMING THE PROJECT TEAM

1. Identify the main sectors/programmatic areas of the anticipated project
2. Determine which of those areas would benefit from partnerships (i.e., to complement your organization's areas of expertise or geographic presence/experience, to strengthen the team's reputation/credibility and ability to quickly deliver results)
3. Hold an initial exploration meeting with current strategic partners and new partners:
   - State that you are considering the opportunity and inquire about their interest/intentions to pursue it (and if yes, as prime or sub); the level of directness and subtlety will depend upon the relationship, level of trust, the possibility of competition, etc.
   - If there is a mutual interest, exchange corporate capability statements. You want to "sell" your organization and consortium to them, as much as they may want to market themselves to you (as your competitors may also be courting them.)
4. Conduct follow-up meetings to discuss the high-level Scope of Work (SOW) and roles; be careful not to reveal too much detail on your strategy, especially before the Non-Disclosure Agreement (NDA) is signed.
5. Eventually sign a pre-teaming agreement (PTA) and/or a Teaming Agreement (TA) to formalize the partnership as it relates to this specific opportunity.

DOCUMENTS/TOOLS USED IN PARTNERSHIP FORMATION

- **Capability Statement:** Ask the potential consortium member to submit a Capability Statement based on their organizations' experience in the technical and geographic areas in the proposal.
- **Pre-Teaming Agreement (PTA) and Teaming Agreement (TA):** This document precedes the proposal release and articulates the intention of both parties. It is important to only use a pre-agreement as the final proposal may change.
- **Non-Disclosure Agreement (NDA):** Ask the potential partner to sign an NDA that prevents them from using the information you share about proposal preparations with anyone else.
- **Scope of Work (SOW):** Design a SOW that aligns with the proposal and the organization's Capacity Statement.

WHAT ARE PTAS AND TAS FOR COMPETITIVE PROPOSALS/BIDS?

- **Pre-Teaming Agreement (PTA):**
  - Executed before a NOFO is released and is subject to review/adjustment once the RFA/RFP is released.
  - Contains draft SOW and NDA language so that organizations can work together before the final call for proposals/applications is issued.
- **Final Teaming Agreement (TA):**
  - Executed before once the solicitation is live.
  - Offers an opportunity to make adjustments to the SOW and budget which reflect the final solicitation document from the donor (i.e., if different from what was expected or issued in an earlier RFI or EOI).

MORE INFORMATION ON PTAS AND TAS

- They can be exclusive (i.e., an organization can only sign an agreement with your organization for this opportunity) or non-exclusive (i.e., an organization can sign agreements with more than one partner for this opportunity)
  - If the former, normally the prime should offer a larger SOW/budget in exchange for exclusivity.
- Do not share any proprietary or competitive information before a signed teaming agreement (with NDA language) is in place!
- Sign PTAs/TAs as soon as possible, so that information exchange is not impeded and necessary details can be shared for proposal development.
- Once PTAs/TAs are in place, involve the consortium members in capture work, project design, and the proposal development process. The most effective proposals are developed via co-creation with inputs from all key players.

HYPOTHETICAL SCENARIO

An NGO named CareServices (CS) wants to prepare a proposal for a USAID solicitation named “Expanding HIV/AIDS Care and Treatment in (you can name the country where the training is being held). CS works in the capital and two other large cities. The proposal needs to include geographic coverage where they do not work. An NGO named EqualAccess is based in half of the districts in the country.

Player 1: Executive Director for CS

- Wants EqualAccess to join the consortium and not sign up with another consortium.

Player 2: Executive Director for EqualAccess

- Has other offers to join different consortiums. Wants to understand the scope of work and how CS manages sub-partners.

2

Q&A

MODULE 4:
LIVE PROPOSAL KICK-OFF

4.0 LIVE PROPOSAL KICK-OFF

Learning Objectives:

- To be aware of the process and key tools for project design and proposal development;
- To understand the requirements and best practices for developing a strong proposal package (technical and cost proposal); and
- To appreciate the importance of conducting multiple, thorough reviews and edits as well as packaging and submitting the proposal on time.

This module covers:

1) Getting Organized,
2) Understanding Donor and Requirements of Solicitation,
3) Proposal Kick-off Meeting, and
4) Preliminary Steps before Writing the Proposal.

THE NOFO HAS BEEN RELEASED! WHAT NOW?!

USAID FROM THE AMERICAN PEOPLE | ZIMBABWE

Issue Date:	March 8, 2021
Deadline for Questions:	March 22, 2021, at 3:00 PM Local Time
Closing Date:	April 29, 2021, at 3:00 PM Local Time
Subject:	Notice of Funding Opportunity (NOFO) Number 720663355RFA11112

4.1 GETTING ORGANIZED

Act as quickly as possible!

- As soon as the NOFO is released, the clock starts ticking!
- Immediately take note of important dates:
  - NOFO issue date
  - Deadline for questions to the donor about the solicitation
  - Submission due date and time (and time zone)
  - Date of participation in the pre-application/pre-proposal conference organized by the USAID Country Mission (if applicable)

USAID | ZIMBABWE
FROM THE AMERICAN PEOPLE

Issue Date:	**March 8, 2021**
Deadline for Questions:	**March 22, 2021 at 3:00PM Local time**
Closing Date:	**April 29, 2021 at 3:00PM I Local time**
Subject:	**Notice of Funding Opportunity (NOFO) Number: 72066335RFA11112**
Program Title:	**Integrated HIV Care and Treatment Support Activity**

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the Integrated HIV Care and Treatment Support program. Eligibility for this award is restricted to local organizations as defined in Section C of this NOFO.

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

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

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6.f. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

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

KEY FACTORS OF SUCCESS

Act as quickly as possible!

- Establish a system for managing time and tasks, keeping all files organized, ensuring version control, etc.
- Allocate the proper resources for project design/proposal development.
- Plan for quality and compliance reviews.
- Streamline coordination and communication; Keep partners, proposal team members, and reviewers informed.
- Post job advertisements for positions in the bid.

PROPOSAL TEAM MOBILIZATION

- Identify/reconfirm your **proposal team members and reviewers**
- Define the roles that are critical for success and how your staff can fill them.
- Key functions for the proposal development team:
  - Coordination (organization, communication, partnership negotiations, etc.)
  - Technical
  - Monitoring and Evaluation
  - Financial/Budgeting
  - Management and Staffing Plan + HR/Recruitment
- Reviewers (technical, budget/cost, compliance):
  - Choose reviewers wisely
  - Should be separate from the proposal team

PROPOSAL DEVELOPMENT CALENDAR

- Create the **proposal development calendar**, based on deadlines in the NOFO.
- It should be a simple, clear visual to see major deadlines, not details.
- Allocate adequate time for reviews and incorporating feedback… as well as editing, packaging, and final approval/sign-off (as these tend to be underestimated).
- Recommend regular meetings, once or twice per week

Mon	Tue	Wed	Thu	Fri	Sat	Sun
MARCH 8 RFA Released by USAID	9	10 Kick off meeting with proposal team	11	12 Partner packets distributed	13	14
15 Technical Strategy Sessions as needed → Key personnel interviews start	16	17	18	19 Submit questions to USAID by 5pm	20	21
22 Questions due to USAID by 3pm	23 First draft proposal due, team reviews for feedback	24	25	26 Technical draft sent to reviewers Final Key Personnel candidates selected	27	28
29 CVs for Key Personnel formatting and editing	30 Technical Review 1 - meeting to discuss reviewer feedback	31	APRIL 1 Budget Review 1 - meeting to discuss reviewer feedback	2 Final CVs for Key Personnel due for review	3	4
5	6 Technical Review 2 - meeting to discuss reviewer feedback	7	8	9	10	11
12 Final budgets due	13	14	15 Final Budget Review	16 Final CVs and Letters of Commitment for Key Personnel due	17	18
19	20 Final technical, budget, and annexes due	21 Copy editing and formatting →	22	23	24	25
26 Final review and sign off	27 Submit application to USAID by 5pm	28	29 Application due to USAID by 5pm			

4.2 UNDERSTANDING THE SOLICITATION

The most critical step

- If you jump in with your technical approach, you will miss the most crucial step in the proposal-writing process: **reading the entire solicitation (e.g., the NOFO, RFA, or RFP) carefully and thoroughly.**
- This step is critical because you need to comply with the donor's requirements and deadlines.
- It is also important to understand how they frame the issue in their program description, statement of work (SOW), and project's theory of change (TOC).

BE PARTICULARLY ATTENTIVE TO…

- Eligibility (Do you still qualify?)
- Evaluation criteria (What sections or traits carry the most weight?)
- Instructions (electronic or hard copy submission) and deadlines (for questions and submission)
- The terminology the donor uses for discussing the topic (which you should mirror in your proposal)
- The types of approaches the donor seeks
- Required components/sections and supplementary materials

EVALUATION CRITERIA

Review your proposal to see how you might score:

Typical Evaluation Criteria:

▪ Technical Approach:	50 points
▪ Management and Staffing:	30 points
▪ Organizational Capacity:	20 points

NOTES ON REQUIRED COMPONENTS/SUPPLEMENTAL MATERIALS (1)

- **A typical USAID proposal includes sections such as:**
  1. Cover letter from the President (PCA) or Executive Director
  2. List of Acronyms and Table of Contents
  3. Executive Summary
  4. Technical approach for completing the scope of work (SOW)
  5. Management approach and staffing plan, plus CVs of key personnel
  6. Cost proposal, including summary and detailed budget; for contracts, a fee schedule and milestone plan
  7. Summary of relevant experience, including corporate capabilities statement and past performance references for similar work
  8. Representations and certifications
  9. Letters of commitment from sub-partners

NOTES ON REQUIRED COMPONENTS/SUPPLEMENTAL MATERIALS (2)

- **The following may be required now or at the award stage:**
  - Activity Monitoring, Evaluation and Learning Plan (MELP)
  - Gender Equality and Social Inclusion (GESI) plan
  - Environmental Mitigation and Management Plan (EMMP)
  - Branding and Marking Plan

Resources to help with these components can be found at *WorkwithUSAID.org resource library, and answers to frequently asked questions about the proposal sections appear in the FAQ portion of the website.*

COMPLIANCE MATRIX

Compliance Matrix: to capture and communicate the most important information from the solicitation

Integrated HIV Care and Treatment Support Activity
NOFO 720663355RFA11112

Compliance Matrix

Deadlines

- **Final** – April 29, 2021, at 3:00PM local time – email to proposalcontact@usaid.gov
- **Questions** – March 22, 2021, at 3:00PM local time - add submission proposalcontact@usaid.gov

Proposal Specifics

- Page limit – 30 pages for Technical Application
- Written in English
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables, however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.
- The Technical Application must be consecutively numbered on each page and must not exceed thirty (30) pages (not including the cover page, table of contents, acronym page, executive summary, and appendices); Pages in excess of this limit will not be considered.

Proposal Evaluation Criteria (PAGE 47):

Technical Approach	**50 points**
• The quality of the proposed conceptual approach, methodologies and techniques in achieving the stated results of the activity.	
Management and Staffing	**30 points**
• The quality and appropriateness of the proposed management approach and key personnel and the extent to which the applicant proposed an efficient organization that will effectively implement the activity.	
Organizational Capacity	**20 points**
• The extent to which the applicant, and proposed sub-grantees, possess the current organizational knowledge, capability, relevant experience and operational systems necessary to implement the desired interventions.	

COMPLIANCE MATRIX

The Compliance Matrix is helpful because it:

- Includes the proposal specifications;
- Describes the evaluation criteria that the UDAID team will use for your technical application;
- Tells you how many pages are recommended for your technical application.

Application Outline

PAGE # FROM RFA/RFP	SECTION	# OF PAGES	PERSON RESPONSIBLE
TECHNICAL APPLICATION			
Front Matter			
27	**Cover Page** • Name of the organization(s) submitting the application; • Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address); • Program name • Notice of Funding Opportunity number • Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.	1 page (not counted against page limit)	Proposal Manager
29	**Table of Contents** • Include major sections and page numbering to easily cross-reference and identify merit review criteria.	No limit (not counted against limit)	Proposal Manager
	Acronym List – not included in RFA – ask a question?		
29	**Executive Summary** • The Executive Summary must provide a high-level overview of key elements of the Technical Application, management approach, implementation plan, expected results and monitoring and evaluation plan.	1 page (not counted against page limit)	Technical Writer
I. Technical Approach			
30	This section must address the following: • **Conceptual Approach:** Provide a concise background on the specific development challenge or opportunity. Include a problem statement with a brief analysis of the stakeholders and intended beneficiaries involved. Describe the key opportunities as well as the issues and challenges of implementing HIV Care and Treatment interventions in Avaliza. Describe how the proposed approach and illustrative activities are relevant and likely to achieve the expected results. Describe the approach for actively engaging a variety of stakeholders, leading to harmonization, integration and coordination/ collaboration among parties. • **Methodology:** Briefly discuss and/or make reference to the evidence base backing the choice of methodologies and describe how the program will implement these particular approaches. Describe the anticipated link between the proposed activities and their intended impact on the objectives in this program. • **Results:** Describe how anticipated results are logically connected to the objectives. The proposed activity must promote and strengthen sustainable practices and changes beyond the life of the award. Discuss how the proposed innovative methodologies can lead to sustained HIV epidemic control in Avaliza. Discuss how this program will build sustainability into activities, so they can be continued after USAID assistance ends.	15 pages	Technical Writer
II. Organizational Capacity			
30	• In this section, describe the Applicant's organizational and management structure, including how it contributes towards achieving the objectives and results of their proposed technical approach. The applicant should describe the organization's ability to start implementation immediately after award, including a plan that will result in a feasible, efficient and rapid transition strategy. The plan should also include flexibility in programming to be responsive to the state of the COVID-19 or unanticipated situations that could impact implementation. The Applicant should demonstrate a commitment to capacity building of its partners, including training to improve technical, managerial, and financial capacity, specifically the organizational and financial management procedures, with specific benchmarks and goals needed for operations that meet USG	5 pages	Proposal Manager

ADDITIONAL APPROVALS TO MOVE AHEAD?

- The context can change and/or the NOFO may be different than what the organization expected – so it is important to confirm if the organization still wants to pursue it.
- Once your team has read the solicitation and has a good sense of the donor's desired approach, your proposal manager should:
  - Circulate the opportunity to the leadership and any other proposal decision-makers;
  - Schedule a meeting with them to discuss why this opportunity is important to your organization and confirm their "go" decision.
  - Estimate the cost of preparing the proposal
  - Also consider a sub role with another bidder if you decide not to prime

4.3 PROPOSAL KICK-OFF MEETING

Kick-off Meeting with Proposal Team & Reviewers

- Introduce the Proposal Team members/reviewers and their functions.
- Recap the basics: proposal title, donor, geography, period of performance (POP), estimate award value, eligibility, etc.
- Present the Proposal Calendar, pointing out important deadlines.
- Go over the Compliance Matrix, emphasizing the proposal evaluation criteria, and discuss how your proposal will meet them; have an initial discussion on budget to ensure alignment.
- Brainstorm relevant prior experience and how to build upon it to address the requirements of the solicitation.
- Formulate a “win theme” for your proposal—an “earworm” that your team wants the donor to remember.
- Identify knowledge gaps and plan how to fill them (desk research and/or outreach to your network).

ALSO DISCUSS: PARTNERSHIP CONFIGURATION

- Review and confirm your **partnership configuration**:
  - Identify experience and expertise gaps, discuss/finalize the partnership strategy, and plan for any necessary outreach to partners.
  - It might be necessary to add or drop partners (if the latter, consider it very carefully and do it diplomatically and with sensitivity -- this risks harming future relations, especially if a PTA was signed).
  - Revise SOWs and budgets, as appropriate.
  - Execute "Teaming Agreements" to replace the PTAs.
  - Keep partners informed and involved in the process

ALSO DISCUSS: KEY PERSONNEL/RECRUITMENT

- Review/reconfirm the availability of Key Personnel candidates and gear up to fill any gaps via **rapid recruitment**.
- The staffing plan may change during/after project design, but Key Personnel are usually specified in the NOFO, and you will likely have initiated recruitment during the Capture phase – so this step should ideally involve confirming the availability of the candidates you'd previously identified and quickly starting to recruit to fill any gaps.

4.4 INITIAL STEPS BEFORE PROPOSAL WRITING

The preliminary steps before writing the proposal are:

Fill in information gaps

- In your kick-off meeting, your team may have identified some information gaps to address before your proposal can be formulated.
- Begin that research immediately for the proposal to include recent, relevant, facts and figures and demonstrate a solid understanding of the subject matter.
- This is also the time for your organization to engage with the community and with stakeholders to ensure the sustainability and relevance of the proposed interventions and show the donor that you truly understand the context and specific needs of the project.
- Consider asking consortium members to write different technical sections

EXECUTE TEAMING AGREEMENTS (TAS)

- Partnering with capable, respected organizations that have complementary expertise and/or relevant local experience strengthens your proposal and adds credibility.
- You may want to develop a “teaming agreement” consortium partners, especially to convert any PTAs that were executed during Capture into TAs for the live proposal.

PREPARE QUESTIONS TO THE DONOR

- Most calls for proposals will offer a period during which potential applicants can submit questions. The answers will then be posted publicly.
- You are strongly encouraged to submit any questions that your own organization has during the open question period. There is a designated point of contact for each opportunity listed within the proposal.
- Be aware that all questions and answers are made public to ensure transparency and fair treatment.

KEY CONSIDERATIONS FOR ASKING DONOR QUESTIONS

- Frame the question in a way that the donor can easily and clearly answer
- Will your question reveal (to competitors who will read the questions and answers) your technical approach or strategy?
- Could the donor answer your question in a way that will not help you or may even benefit the competition?
- Do you need to ask the question, or is it better to assume and proceed?

FOLLOW THE OPPORTUNITY ON SAM.GOV AND GRANTS.GOV

- USAID sometimes amends an opportunity based on questions they receive during the open-question period for an award.
- Avoid missing a deadline extension or a change of requirements by visiting www.grants.gov or www.SAM.gov frequently to watch for any updates to the opportunity.

Welcome to Day 2!

- **Q&A:** please type any questions you have in the Q&A box. If you have any questions we didn't answer yesterday, please retype them into the Q&A box, and we'll answer them in our Q&A at the end of today's session.

1

MODULE 5:
PROJECT DESIGN AND TECHNICAL AND BUDGET PROPOSAL DEVELOPMENT

5.0 PROJECT DESIGN AND TECHNICAL AND BUDGET PROPOSAL DEVELOPMENT

Learning Objectives:

- To emphasize the importance of undertaking a participatory project design process prior to proposal writing and introduce or refresh participants to the aspects of the project design process;
- To familiarize participants with what a typical USAID technical proposal looks like;
- To provide information on what each key component of the technical proposal should consist of; and
- To develop a budget that covers all program costs including direct and indirect costs.

This module covers:

1) The Project Design and Technical and Budget Proposal Development,
2) Tips and Considerations for Strong and Compliant Proposal,
3) Proposal Review and Editing, and
4) Proposal Finalization and Submission.

5.1.1 TECHNICAL APPROACH/PROPOSAL

The technical approach is usually the largest section of your technical proposal in terms of page allotment—and the one that carries the most weight based on the donor evaluation criteria (often as much as 50% of the points or valued as “most important”).

It describes your approach and your rationale for addressing the challenge or opportunity outlined in the solicitation. A strong technical approach often requires a lot of brainstorming on the many facets of the technical solution.

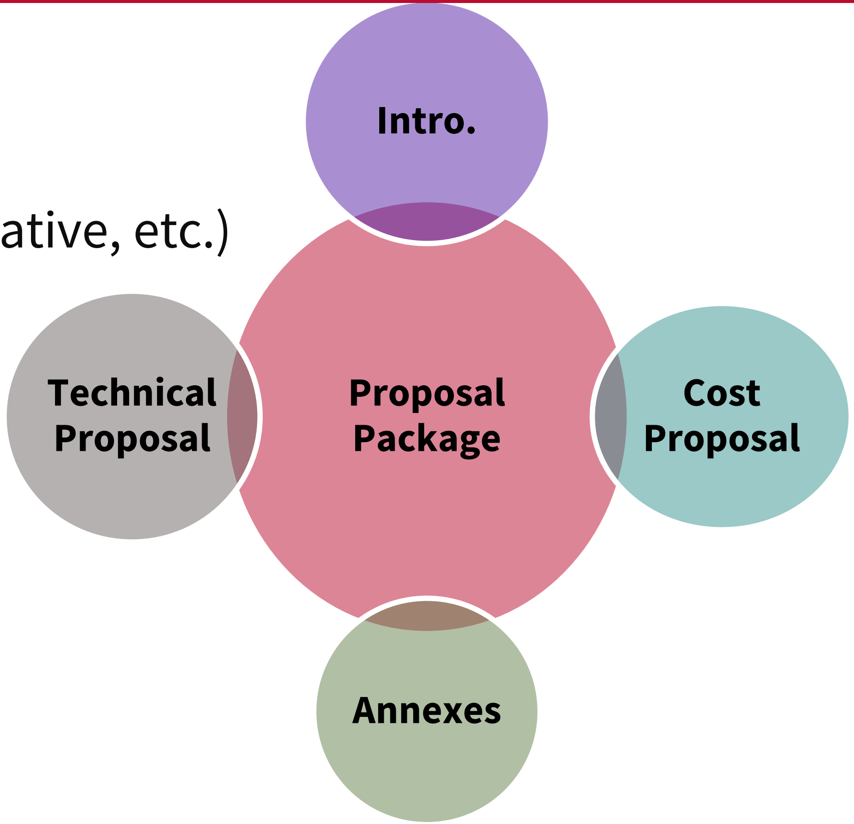
Develop and fine-tune the content before beginning to write.

IMPORTANCE OF PROJECT DESIGN

- A strong proposal often requires a lot of brainstorming on the many facets of the technical solution. Develop and fine-tune the content before beginning to write.
- Facilitate a thorough, participatory project design process, including:
  - Analysis of the focal problem and its root causes
  - Prioritization of which specific aspects of the problem the project will address
  - Formulation of clear goals, objectives, and outputs (e.g., expected results)
  - Identification of the set of activities that are necessary and sufficient to deliver the expected results

MAIN COMPONENTS OF USG PROPOSALS

- Technical proposal
- Cost proposal (budget, budget narrative, etc.)
- Annexes



DRAFTING THE WRITE-UPS

- Draft a document with the sections you will need (outlined in the solicitation).
- You may have a lead writer, possibly your proposal technical lead, or you may assign team members with the expertise to draft each section.
- At time, you may need to have a staggered writing process, as some sections depend on others.
  - For example, it might be necessary to finalize the technical approach before the staffing/management section.
- Make sure that the writer or writing team continues to coordinate closely with the budget preparer developing the cost proposal.

THEORY OF CHANGE

A theory of change (TOC) is a diagram or written description of the strategies, actions, conditions, and resources that facilitate change and achieve outcomes. The TOC is a road map. It’s the articulation of how and why a given set of interventions will lead to specific change. It follows a generally straightforward “if/then” logic — *if* the intervention occurs successfully *then* it will lead to the desired result. Of course, behind that logic is a set of beliefs and assumptions that support our expectations about how change will occur.

A complete TOC includes five components:

1. The context in which the development problem is situated;
2. If-then (causal) outcomes needed to achieve the desired change;
3. Major interventions that the project will undertake to catalyze these outcomes;
4. Key assumptions that underlie the success of this theory; and
5. Key indicators to monitor how progress unfolds during implementation.

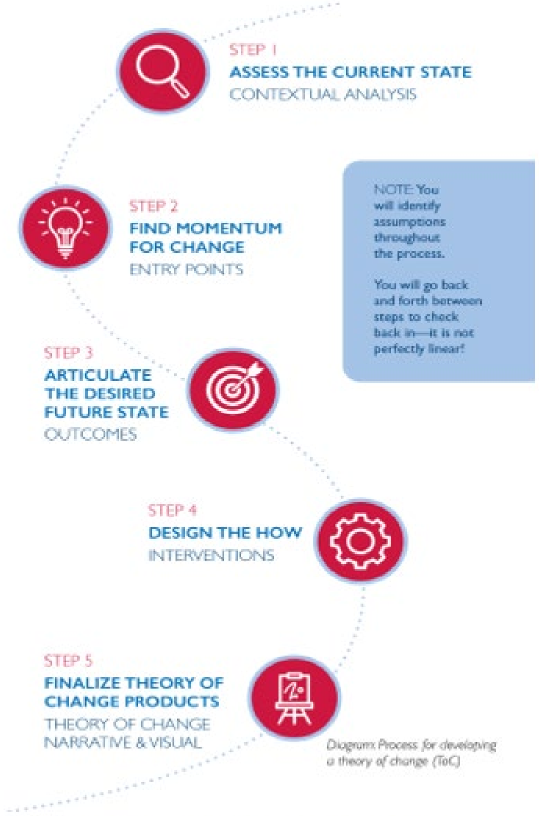
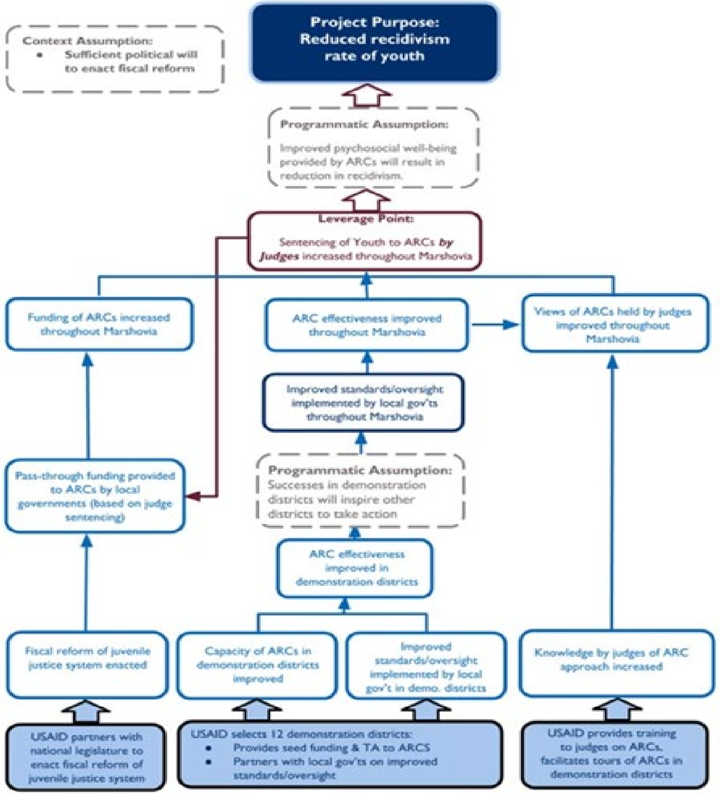


Figure 1: Process for developing a Theory of Change (ToC)

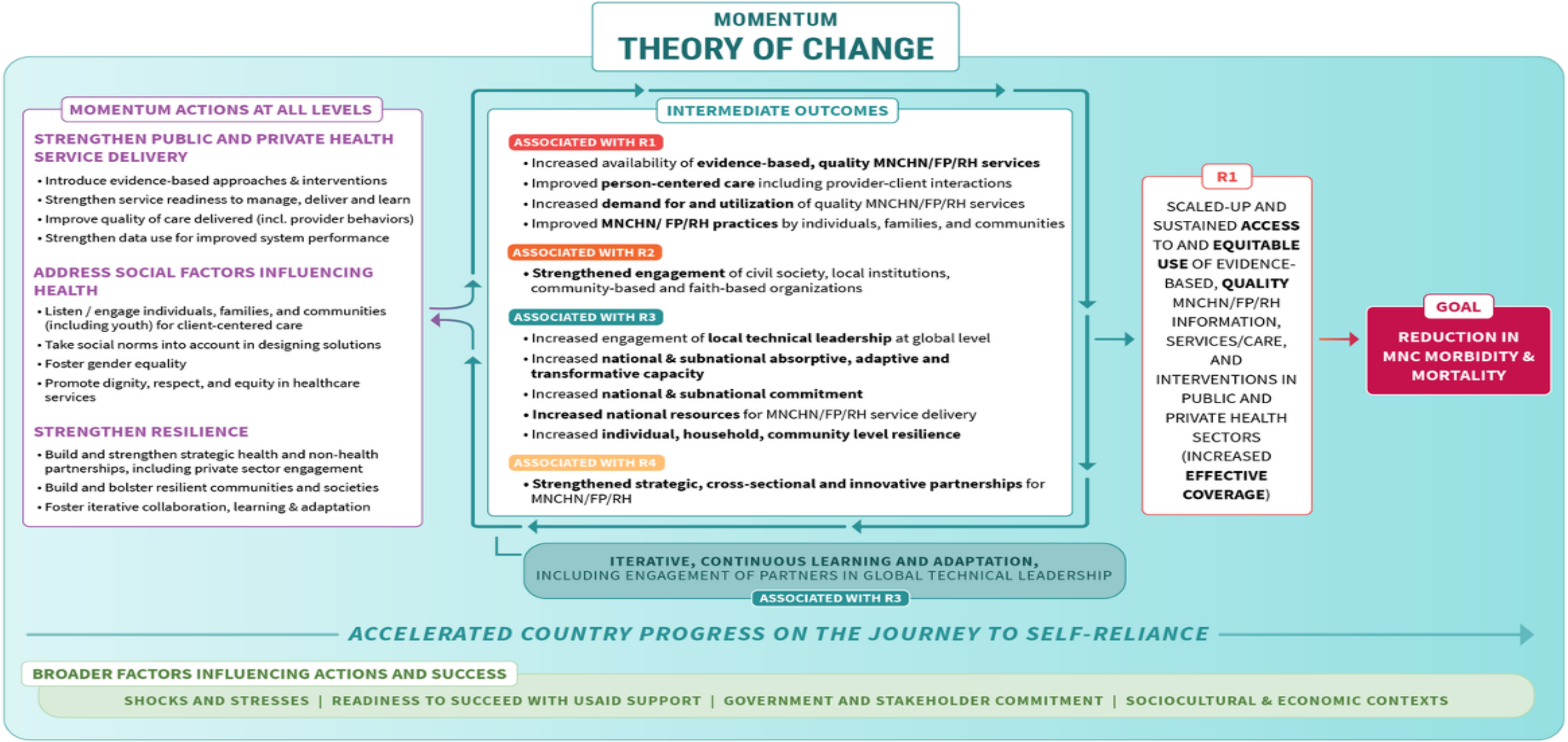
THEORY OF CHANGE – EXAMPLE

USAID's theory of change is that **if** it can help break this vicious cycle through alternative sentencing of youth to Alternative Rehabilitation Centers (ARCs), **then** youth will develop the self-esteem and self-worth they need to resist negative influences and not return to a life of crime.

Logic Model 1: Customized Logic Model



THEORY OF CHANGE - EXAMPLE



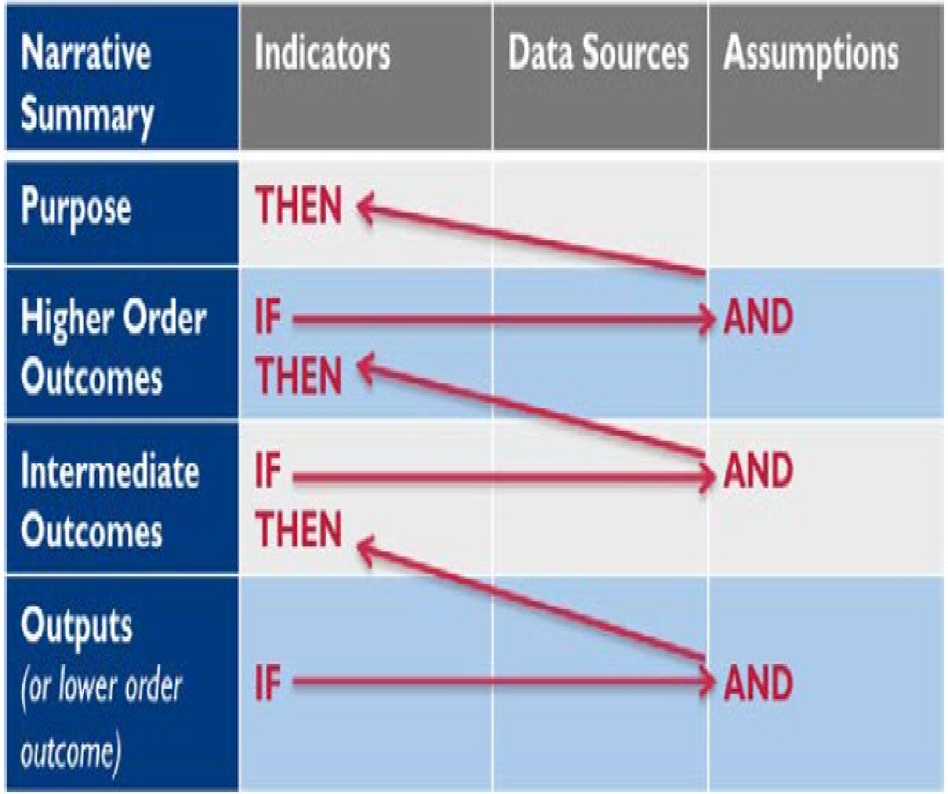
LOGIC MODEL

A logic model is a graphic or visual depiction that summarizes key elements of a TOC, and it is often used as a facilitation tool during the design process. There are many types of logic models, including but not limited to logical frameworks (log frames), results chains, results frameworks, and local actor-oriented models, among others. The project logic model and its associated TOC are included in the Project Appraisal Document (PAD) that approves a project design (see ADS 201.3.3.13).

The logic model is a snapshot or approximation of this TOC; it is not an exact representation and often does not include all these elements. What is highlighted in the logic model will depend on its intended application and the degree of detail that the team opts to include in this summary presentation.

LOGIC MODEL - EXAMPLE

The logical framework, or log frame, is one of the principal tools used by the international development community to help design projects to achieve measurable outcomes. The log frame provides a simplified depiction of how a project is to function in the form of a linear chain of cause and effect. It establishes the “if-then” (causal) relationships between the elements of a project: if the outputs are achieved (and the assumptions hold true), then certain outcomes (or sub-purposes) can be expected; if the outcomes are achieved (and the assumptions hold true), then the purpose can be expected; and so on. Log frames are useful representations of projects where causal links are well known or can be determined with additional expertise, and stakeholders agree on the solution.



LOGIC MODEL - EXAMPLE

NARRATIVE SUMMARY	INDICATORS	DATA SOURCES	ASSUMPTIONS
Purpose: Increased income of male and female smallholder farmers in NE region	% increase in per capita household expenditures of USG targeted beneficiaries	FTF baseline CPRs	Macroecon stability (inflation)
Sub-Purpose 1: Increased agricultural productivity of male and female smallholder farmers in NE region	Gross margins per hectare of key commodities in targeted region	Impact evaluation	Real producer prices do not decline
Outputs: • M/F smallholder famers trained on commercial farming and on-farm climate change risk reducing practices • New market-tested technologies developed • Climate change vulnerability assessment completed Inputs: Training farmers, TA for research, vulnerability assessment, seeds & fertilizer for testing new tech.	• Average score from training participants on quality of the training course • # of farmers trained in new farming tech • # of key commodity technologies under development as a result of USG assistance • # of recs for climate change adaptation from vulnerability assessment tested	Project Activity reports	The Climate Change vulnerability assessment identifies viable opportunities for climate change adaptation
Sub-Purpose 2: Increased access to markets	% increase in the $ value of export of key commodities by end of project	National statistics	New market linkages result in ↑ sales
Outputs: • Buyer facilitation and training provided • Market information system facilitation delivered Inputs: TA & equipment for info systems, TA & resources to train buyers, and convene and promote buyers' network	• # info. system recommendations produced • # stakeholders convened to assess information system weaknesses • # buyer contacts made • # buyers trained	Project Activity reports	Buyers willing to participate in training & perceive benefits of organizing in networks
Sub-Purpose 3: Improved access to support services	% increase in the # of farmers/value chain actors accessing support services by 2016	Activity reports	Interest rates remain stable
Outputs: • Service providers trained to improve outreach service quality • Farmers' networks facilitated • Financial institutions supported to develop products, i.d. clients, improve financial literacy	• # of advisory service providers receiving USG assistance to improve service delivery capacity • # of farmer orgs receiving USG assistance • $ value of credit guarantee extended	Activity reports	Increased credibility of farmers' groups will build farmers' trust in them

RESULTS FRAMEWORK - EXAMPLE

The results framework (RF) has been a key logic model for USAID for depicting the underlying logic behind USAID Mission strategies (i.e., CDCSs) since the 1990s. The RF can also be used at the project level. If an RF is selected to depict the project TOC, the team should use the relevant part of the parent RF in the CDCS as the starting point. As additional analysis is conducted during the project design process and more information is available about the root causes of the development problem, the team may opt to refine or reorganize the CDCS RF, as well as the underlying development hypothesis.

GOAL: To support healthy lives for the population of the Free State Province by achieving and sustaining HIVTB epidemic control.

OBJECTIVE 1: Close the gaps to achieve HIV/TB epidemic control.

IR1.1: Improved pediatric, children, adolescents, and youth HIV treatment outcomes through tailored approaches.

IR1.2: Improved adult clinical outcomes for HIV through sustainable and locally led social support services and client-centered approaches.

IR1.3: Reduced HIV/TB coinfection for pediatric and adults through enhanced and targeted programming for improved treatment outcomes.

IR1.4: Strengthened and targeted integration of HIV prevention interventions, particularly for priority populations such as AGYW, adolescent boys and young men (ABYM), and key and vulnerable populations at risk.

IR1.5: Improved awareness and engagement in HIV/TB Care, Treatment, and Prevention through Strategic Marketing and Communications.

OBJECTIVE 2: Sustain health gains through strengthened, improved, and resilient health systems.

IR2.1: Adequate, skilled, and motivated HRH in all targeted health facilities to maintain and sustain the delivery of healthcare services to PLHIV.

IR2.2: Essential medicine and commodities, equipment, instruments, and devices needed to deliver quality HIV/TB health and other infectious disease services are available at targeted health care facilities.

IR2.3: Sustainable infrastructure, electrification, and telecommunication solutions are identified and developed in collaboration with Free State government counterparts.

IR2.4: Utilization and management of existing health information systems and data to guide decision making and client management is strengthened.

IR2.5: Effective governance and management systems at the district and facility levels (management, planning, budgeting, and monitoring systems) are in place.

OBJECTIVE 3: Leveraging community, civil society, and private sector partnerships to improve and sustain service delivery and client outcomes.

IR3.1: PLHIV-led and other community organizations are strengthened and actively engaged for improved health outcomes.

IR3.2: Private sector engaged to improve and implement health outcomes.

DESIGN THE "HOW"

Facilitate a thorough, participatory project design process, that will help you formulate "how" to address and provide solutions to achieve the goal:

1. Identify and analyze the problem(s)
2. Understand and articulate the root cause(s) of the problem(s)
3. Focus on which specific aspects of the problem(s) the project will address (some will be in scope and others will be out of scope)
4. Formulate strategies that will provide solutions to the problem(s)
5. Identify activities that are necessary to implement the strategies/solutions
6. Achieve the objectives and long-term goal of the project

IDENTIFYING THE ROOT CAUSE(S) AND THEIR SOLUTIONS

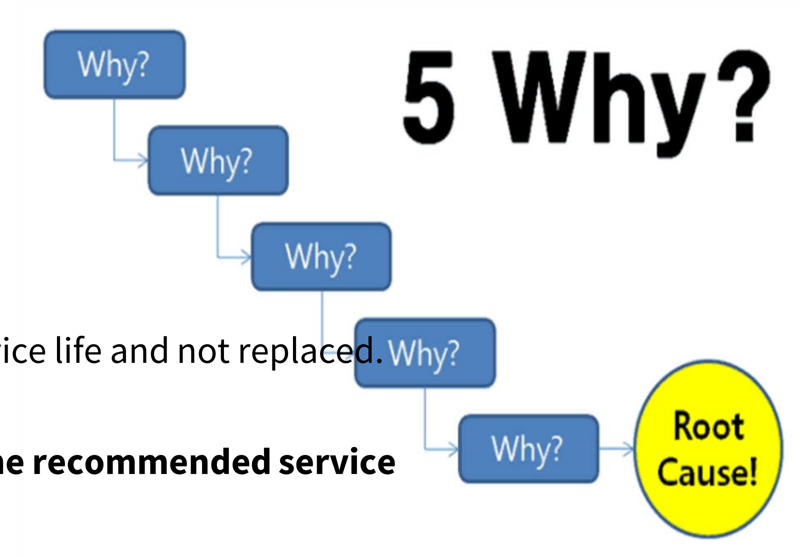
- Root Cause Analysis is a structured facilitated team process to identify the root causes of an event that resulted in an undesired outcome and develop corrective actions. Five steps of an RCA:
  - Define the problem.
  - Collect data.
  - Identify causal factors.
  - Identify root cause(s).
  - Implement solutions.
- Tools to use to identify root cause(s): Pareto Charts, Failure Mode and Effect Analysis (FMEA), 5 Whys, Ishikawa Fishbone Diagram, Fault Tree Analysis, 8D Report Template Checklist, DMAIC Template, Scatter Diagram
- Materials needed to facilitate this discussion:
  - In person: sticky notes, whiteboards, chart paper
  - Virtually: Mural, Miro, virtual whiteboards in Zoom/Teams, Google Jamboard

IDENTIFYING THE ROOT CAUSES (1)

Activity – Root Cause Analysis using 5 Whys - when a problem occurs, you drill down to its root cause by asking "Why?" five times. First, you look at a problem and ask why it happened. Once you answer the first question, you ask why that happened. Repeat this process five times in total and you will have typically found your true root cause.

Problem statement: The vehicle will not start.

- Why 1: The battery is dead.
- Why 2: The alternator is not functioning.
- Why 3: The alternator belt is broken.
- Why 4: The alternator belt was well beyond its useful service life and not replaced.
- **Why 5: The vehicle was not maintained according to the recommended service Schedule.**



WHAT IS THE SOLUTION?

- Root Cause: The vehicle was not maintained according to the recommended service schedule.
- What is the solution (by “flipping” the root cause)?
  - **The vehicle needs to be serviced according to the recommended service schedule.**

- How will you implement the solution?

  Who What Where When Frequency
  - **John will take the vehicle to be serviced by Auto Service Plus in January and July of each year.**

DESIGN THE "HOW"

EXAMPLE

1. Identify and analyze the problem(s) – the vehicle won't start.
2. Understand and articulate the root cause(s) of the problem(s) – the battery is dead, the alternator is not functioning, the alternator belt broke, the alternator belt was well beyond its useful service life and not replaced, the vehicle was not maintained according to the recommended service schedule.
3. Focus on which specific aspects of the problem(s) the project will address (some will be in scope and others will be out of scope) – the back tire is flat (this is not a contributing factor to why the vehicle won't start, though it needs to be addressed to operate the vehicle)
4. Formulate strategies that will provide solutions to the problem(s) – the vehicle needs to be repaired and serviced regularly to avoid future breakdowns
5. Identify activities that are necessary to implement the strategies/solutions – identify a repair shop and technician to look at the vehicle and recommend needed repairs, make the needed repairs, and going forward ensure the vehicle is taken to the shop on the recommended schedule
6. Achieve the objectives and long-term goal of the project – the vehicle starts and is in good working condition at all times

DESCRIBING ACTIVITIES (SOLUTIONS)

What: What is the activity/task?

How: How will the activity/task be completed? What stakeholders or other factors need to be considered (target population, geographic area)?

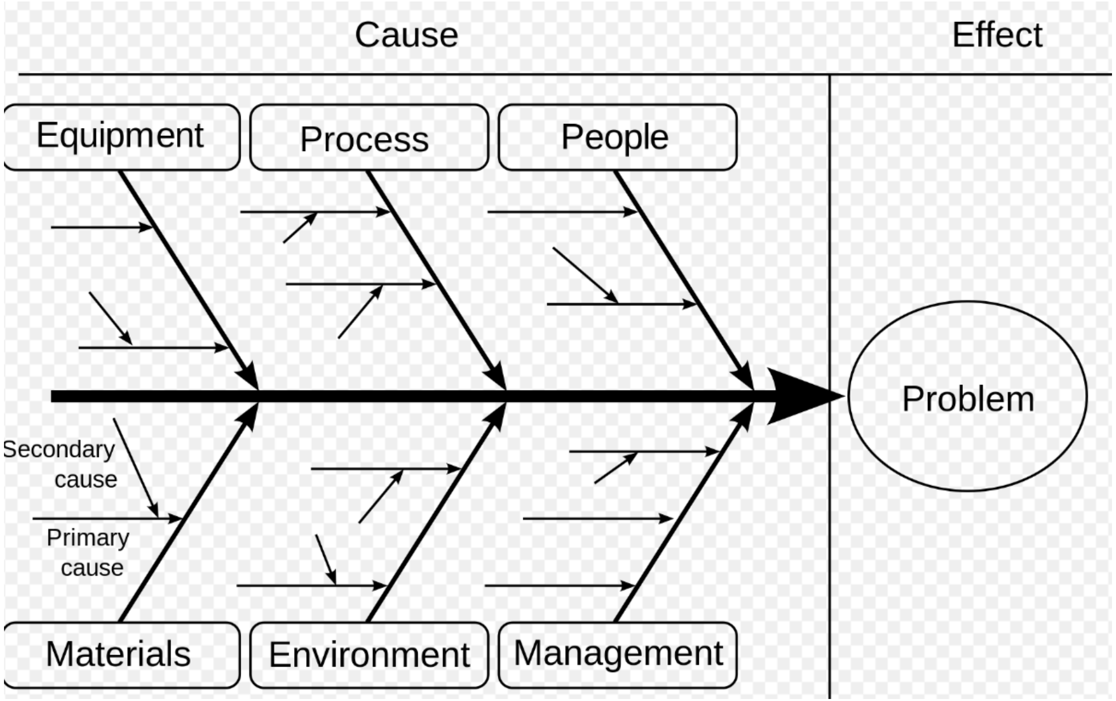
Who: Which organization is leading the activity, will partners support in any way? What staff will work on this?

Where: Where will the activity geographically take place?

When: When will the activity occur, in Month 1 or Year 3?

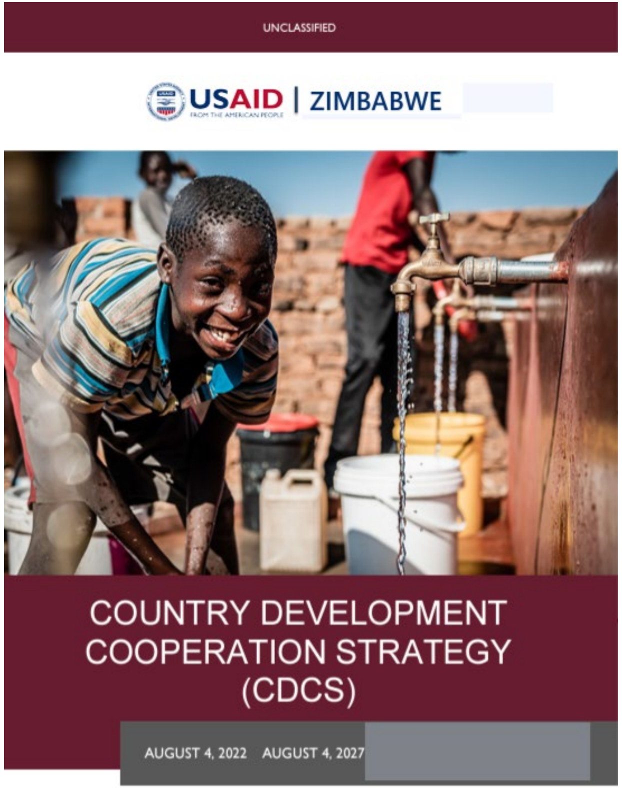
IDENTIFYING THE ROOT CAUSES (2)

The Ishikawa diagram, also called the **Fishbone diagram,** is a tool used to identify problems in a system. It shows how causes and effects are linked and helps analyze what is going wrong with systems, processes, and products. The name comes from Japanese engineer Kaoru Ishikawa who developed the method in the 1960s.



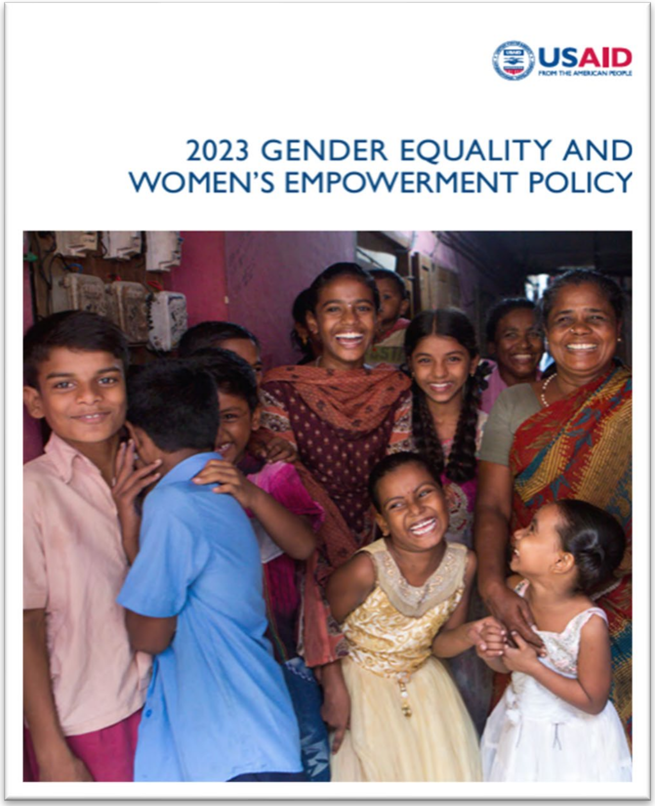
Source: https://www.project-management-skills.com/fishbone-diagram.html

ALIGN WITH COUNTRY DEVELOPMENT CORPORATION STRATEGY

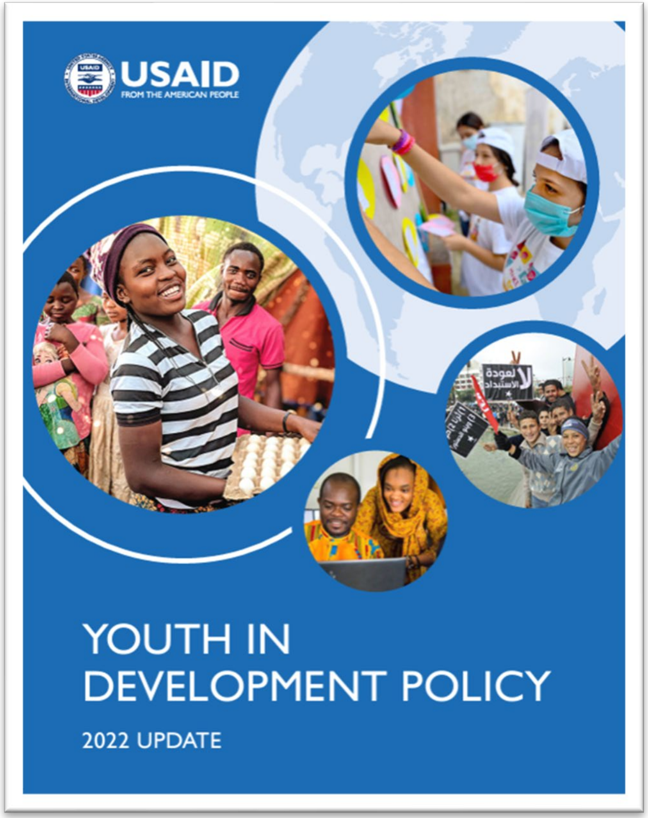


CDCS is a five-year strategy at the country level that reflects USAID collaboration with other agencies to formulate country development cooperation strategies that are results-oriented and foster partnering with host countries to focus investment in key areas that shape countries' overall stability and prosperity.

ALIGNING ACTIVITIES TO USAID'S POLICIES

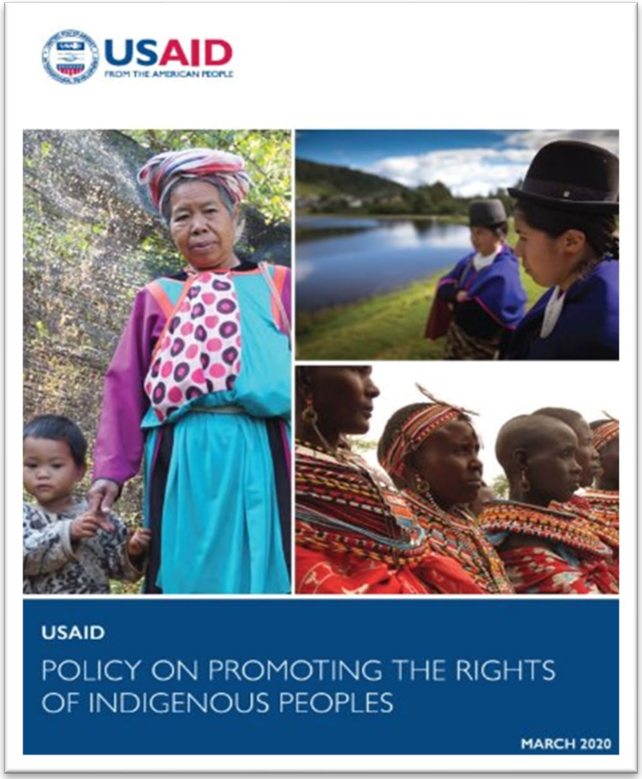


[2023 USAID Gender Equality and Women's Empowerment](#)



[2022 Youth in Development Policy](#)

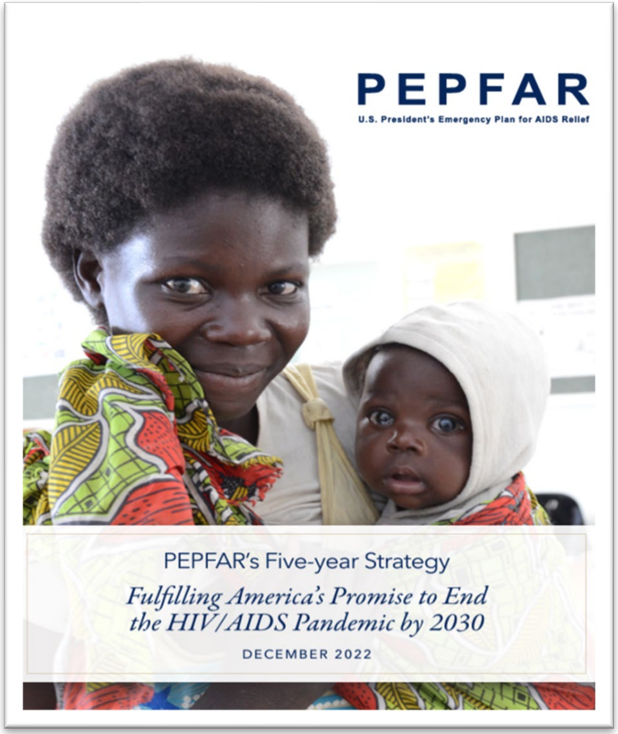
ALIGN PROPOSAL ACTIVITIES WITH USAID POLICIES



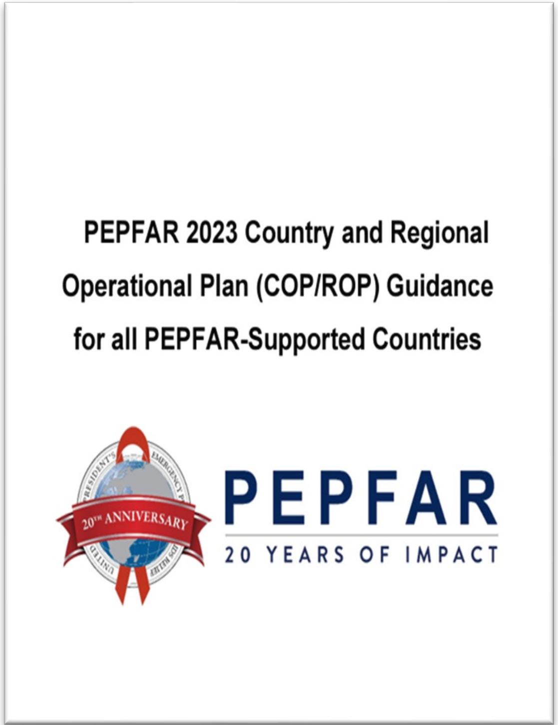
[2020 USAID Policy on Promoting the Rights of Indigenous Peoples]

[2023 LGBTQI+ Inclusive Development]

ALIGN ACTIVITIES WITH PEPFAR



[PEPFAR Five-year Strategy]


PEPFAR 2023 Country and Regional Operational Plan (COP/ROP) Guidance for all PEPFAR-Supported Countries

[PEPFAR 2023 Country and Regional Operational Plan (COP/ROP) Guidance for all PEPFAR-Supported Countries]

EVIDENCE-BASED SOLUTIONS

- When presenting your solutions/activities – make sure you also provide evidence that this solution works or be clear that the activity is a pilot.
  - Use USAID data whenever possible
  - Include references to research papers that support your solution
  - Reference results from previous projects that you or your partners have achieved, or results from other peer-implemented projects

EVIDENCE SOURCES AND CLEARINGHOUSES

USAID Development Information and Analysis

- Development Experience Clearinghouse: USAID program records and development information, USAID evaluation reports, peer-reviewed journal articles, and other analyses.
- Development Data Library: USAID-funded machine-readable data
- USAID Resource Portal: portal to a selection of USAID-funded knowledge management platforms and associated research
- Country Roadmaps: visualization and trends of 17 third-party indicators curated by USAID to understand country self-reliance
- International Data and Economic Analysis Portal (IDEA): Country-level data from multiple third-party sources simultaneously

Third-party Evidence Clearinghouses

- 3ie - International Initiative for Impact Evaluation: Evidence Hub with a database of individual impact evaluations, systematic reviews, and evidence gap maps
- Cochrane Library: reviews of health evidence
- Campbell Collaboration: international social science research network that produces evidence syntheses

Other Federal Agencies' Evidence Clearinghouses

- HHS Administration of Children and Families Research and Evaluation Clearinghouses
- Dept of Education's What Works Clearinghouse
- Dept. of Labor Clearinghouse for Labor Evaluation and Research (CLEAR)

LINKS TO RESOURCES

- USAID Learning Lab Theory of Change: https://usaidlearninglab.org/resources/theory-change-workbook-step-step-process-developing-or-strengthening-theories-change
- USAID Learning Lab Why is it Called Theory of Change: https://usaidlearninglab.org/community/blog/what-thing-called-theory-change
- USAID Learning Lab How to Develop a Logic Model: https://usaidlearninglab.org/system/files/resource/files/project_logic_model_how_to_note_final_sep1.pdf
- USAID Technical Note Developing a Results Framework: https://www.usaid.gov/sites/default/files/2022-05/_508_RF_Technical_Note_Final_2013_0722.pdf

PROJECT DESIGN TIPS AND LESSONS LEARNED

- What are some tips or lessons learned that you can share with the group around the project design process?

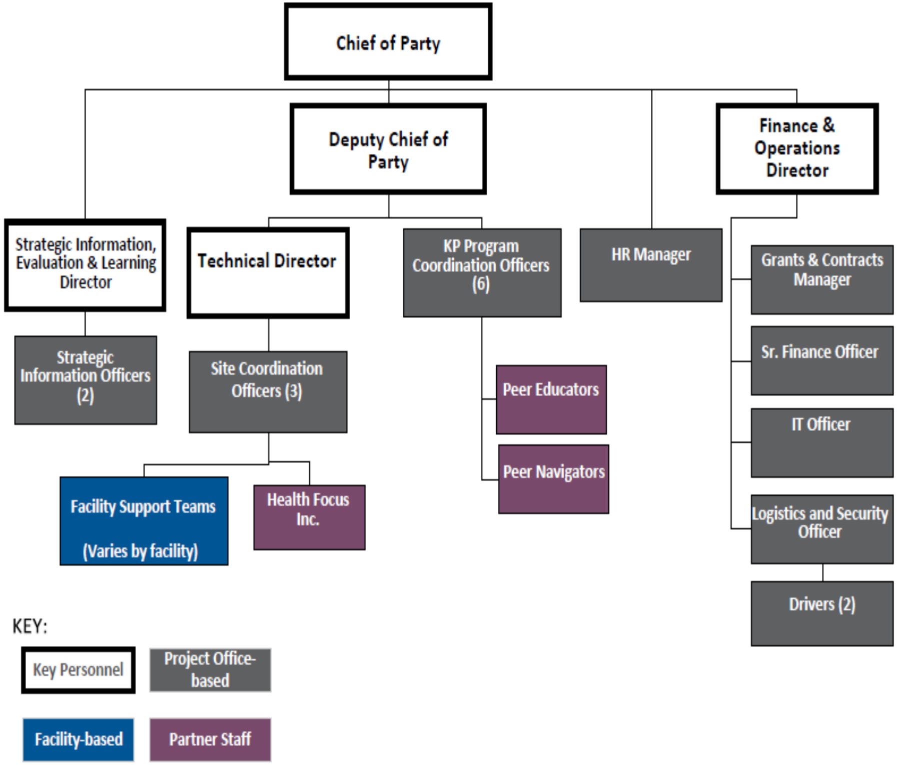
MANAGEMENT AND STAFFING PLAN

Based on the requirements of the solicitation for this section, you must:

- Identify and describe your partners, including their scope of work;
- Establish a presence and configure the different offices (as applicable) in the country;
- Describe lines of authority, communication, and reporting among staff/teams, the donor, and other stakeholders;
- Identify key and non-key personnel and how you'll obtain additional technical expertise if needed. NOTE:
  - CVs for key personnel are usually required and must describe and demonstrate qualifications and meeting of requirements.
  - An organizational chart is usually required and must visually show the configuration of staff, reporting lines, which staff are "key", and where the staff are located
  - It can be helpful to include a matrix that shows the qualifications of each individual you propose for Key Personnel alongside the minimum requirements for each position stipulated in the call for proposals.

ORGANIZATIONAL CHART

- Microsoft PowerPoint and Google Slides are good platforms to use for developing an organizational chart.
- Develop your org chart as early as possible.
- Cost it out to ensure you have a sufficient budget.
- Show Key Personnel positions that will be held by both your organization and consortium partners.
- Display in which office the staff will be based (using a color code).
- Adjust the staffing configuration according to the type of project (service delivery vs. technical assistance).
- Ensure that appropriate proportions of funding are going to staff vs. activities.



10 TIPS FOR PERFECT ORGANIZATIONAL CHARTS

1. Format the chart to fit on a single page
2. Group people with the same title into one box
3. Make all boxes the same size and space them evenly
4. Show assistants with a sidebar below the manager
5. Put the title of the position first, then the name of the person occupying it
6. Show managers with two titles as two different boxes in the chart
7. Use dotted lines sparingly
8. Draw your chart automatically by importing employee data
9. Hyperlink to more information
10. Break up large charts into multiple smaller linked charts

Source: https://www.smartdraw.com/organizational-chart/organizational-chart-tips.htm

MEL PLAN

In the proposal, a Draft Monitoring, Evaluation, And Learning (MEL) Plan is required to outline the following (based on the ToC and logical framework):

- Identify program goals (impact), objectives (outcomes), and outputs.
- Define the key indicators (at output and outcome levels) – Sometimes the donor lists a set of USAID standard indicators and custom indicators that are required, but it is good practice to add some of your own.
- Describe the data collection methods, quality assurance processes, and timeline for MEL activities.
- Identify key MEL roles and responsibilities.
- Plan donor reporting and dissemination of results.

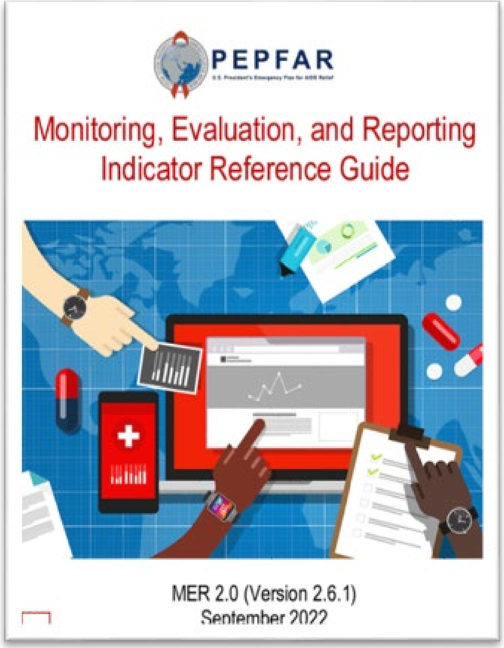
MONITORING, EVALUATION AND REPORTING (MER)

PEPFAR and USAID have clear indicators for each program area:

- PEPFAR FY23 MER Indicator Reference Guide
- PEPFAR FY23 MER Indicator Infographic
- PEPFAR FY23 MER Indicator Frequency Table

Training Resources

- WorkwithUSAID Monitoring, Evaluation, and Learning Training



EXAMPLES OF PEPFAR INDICATORS

- **MER reporting requirements**

Quarterly Indicators

Results encompass quarterly achievements from:

- October 1 – December 31
- January 1 – March 31
- April 1 – June 30
- July 1 – September 30

Semi-Annual Indicators

Results encompass semi-annual achievements from:

- October 1 – March 31
- April 1 – September 30

Annual Indicators

Results encompass fiscal year achievements from:

- October 1 – September 30

PEPFAR MER 2.6.1 Indicator Frequency Table

QUARTERLY	SEMI-ANNUAL	ANNUAL	HOST COUNTRY
HTS_TST Ⓕ Ⓒ	AGYW_PREV Ⓒ	EMR_SITE Ⓟ	DIAGNOSED Ⓝ Ⓢ
HTS_INDEX Ⓕ Ⓒ	CXCA_SCRN Ⓕ	FPINT_SITE Ⓟ	HRH_STAFF Ⓕ
HTS_RECENT Ⓕ Ⓒ	CXCA_TX Ⓕ	HRH_PRE Ⓐ	KP_MAT Ⓝ Ⓢ
HTS_SELF Ⓕ Ⓒ	GEND_GBV Ⓕ Ⓒ	KP_MAT Ⓕ	PMTCT_ART Ⓝ Ⓢ
PMTCT_ART Ⓕ	KP_PREV Ⓕ Ⓒ	LAB_PTCQI Ⓕ	PMTCT_STAT Ⓝ Ⓢ
PMTCT_EID Ⓕ	OVC_HIVSTAT Ⓕ Ⓒ	PMTCT_FO Ⓕ	TX_CURR Ⓝ Ⓢ
PMTCT_HEI_POS Ⓕ	OVC_SERV Ⓕ Ⓒ	TB_ART Ⓕ	VL_SUPPRESSION Ⓝ Ⓢ
PMTCT_STAT Ⓕ	PP_PREV Ⓕ Ⓒ		VMMC_CIRC Ⓝ Ⓢ
PrEP_CT Ⓕ	SC_ARVDISP Ⓕ		VMMC_TOTALCIRC Ⓝ Ⓢ
PrEP_NEW Ⓕ	SC_CURR Ⓕ		
TB_STAT Ⓕ	TB_PREV Ⓕ		
TX_CURR Ⓕ	TX_TB Ⓕ		
TX_ML Ⓕ			
TX_NEW Ⓕ			
TX_PVLS Ⓕ			
TX_RTT Ⓕ			
VMMC_CIRC Ⓕ			

Indicator Frequency & Type	
Quarterly	Report 3 months of results for these indicators, as instructed in the indicator reference sheet, at each quarterly reporting cycle.
Semi-Annual	Report 6 months of results for these indicators, as instructed in the indicator reference sheet, at the Q2 and Q4 reporting cycles.
Annual	Report 12 months of results for these indicators, as instructed in the indicator reference sheet, at the Q4 reporting cycle.
Host Country	Host country indicators (both targets and results) are reported annually. Host country targets are provided during COP and host country results are provided during Q4 reporting. Data for host country indicators should reflect both PEPFAR and other stakeholder achievements.

ORGANIZATIONAL CAPACITY AND HISTORY OF PERFORMANCE

Organizational Capacity:

- Appears as a narrative within the technical application
- Demonstrates that you can perform the SOW of the opportunity by describing past and current work related to the SOW of the opportunity
- Includes experience of the prime and the consortium partners
- Experience as a subrecipient is relevant

HISTORY OF PERFORMANCE

1. Award Number:
2. Agency or Entity Providing the Funding:
3. Description of the Program Including Complexity/Diversity of Tasks:
4. Primary Location(s) of Program:
5. Period of Performance:
6. Skills/Expertise Required:
7. Dollar Value:
8. Type of Award:
9. Contact Information for Two Persons, Including Name, Job Title, Mailing Address, Phone Numbers, and Email Address

History of Performance/Past Performance:

- Put information about prime recipients and consortium partners in the annexes.
- Using the template provided by the donor, describe specific projects that you've recently implemented related to the SOW of the opportunity.
- The donor will contact staff who are familiar with your work and can speak to your performance.

CROSS-CUTTING ISSUES

The donor may require you to address other important aspects of project design and implementation. For example:

- **Gender:** Conduct a gender analysis and incorporate activities into the application to reduce gender gaps in the expected program outcomes. A gender action plan is required as part of the work plan.
- **Youth**: Develop and implement youth-friendly service packages, employ a Positive Youth Development (PYD) approach, and propose concrete and practical approaches.

GENDER INTEGRATION 8 MINIMUM STANDARDS (1)

1 POLICY

Adopt a Gender Equality Policy

Adopt and apply a policy that institutionalizes a commitment to gender equality in operations and programming.

3 ANALYSIS

Conduct and Utilize Gender Analyses

Perform gender analyses for every project, engaging a diverse range of stakeholders and using findings to inform partnerships, design, and implementation.

2 CULTURE AND CAPACITY

Develop Organizational Culture and Capacity for Gender Equality

Promote a shared commitment to gender equality by ensuring staff have the proper understanding, skills, and support.

4 BUDGET

Allocate Budget Resources for Gender Equality

Allocate organizational and program budget resources to meet gender mainstreaming and capacity-building needs.

GENDER INTEGRATION 8 MINIMUM STANDARDS (2)

5 DATA

Utilize Sex- and Age-Disaggregated Data

Collect, analyze, and use sex- and age-disaggregated data for all applicable programs and organizational data collection processes.

6 INDICATORS

Develop Gender Equality Indicators

Develop and track specific indicators to measure progress toward gender equality.

7 DO NO HARM

Do No Harm

Perform risk assessments and develop corresponding mitigation and response strategies.

8 ACCOUNTABILITY

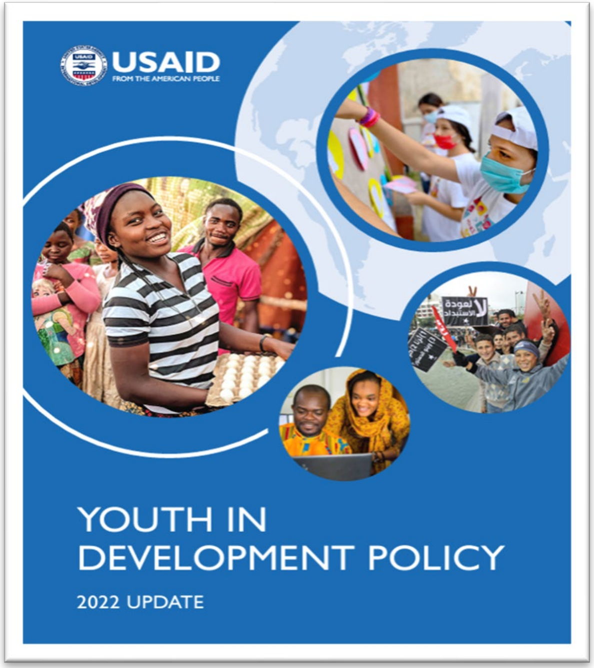
Ensure Accountability

Establish accountability mechanisms to monitor the status of gender equality within organizational practices and programming.

YOUTH

USAID defines the different stages of youth as follows:

- Early adolescence (10–14) Adolescence (15–19)
- Emerging adulthood (20–24) Transition to adulthood (25–29)



YOUTH DEVELOPMENT POLICY (YDP)

VISION: USAID envisions a world in which young people have agency, rights, influence, and opportunities to pursue their life goals and contribute to the development of their communities.

GOAL: Increase the meaningful participation of youth within their communities, schools, organizations, economies, peer groups, and families, enhancing their skills, providing opportunities, and fostering healthy relationships so they may build on their collective leadership.

POLICY OBJECTIVES:

ACCESS: Youth are better able to access high-quality information, safe services, and livelihood opportunities and build the skills they need to lead healthy, productive, and engaged lives.

PARTICIPATION: Youth have the right to fully participate in decision-making as key partners contributing to individual, household, community, and national well-being.

SYSTEMS: Youth have a stronger collective voice in and are better served by local and national systems through more coordinated and effective services, practices, and policies that embody the principles of PYD.

2

5.1.2 COST PROPOSAL

Go back to the solicitation document (RFA, RFP) to confirm what the cost presentation should look like; use and/or modify the provided templates. It will most likely contain, at a minimum, a summary budget, a detailed budget, and a budget narrative.

USAID will evaluate your cost proposal (that of your organization and each partner/sub-recipient) on three criteria:

1. **Reasonable:** Costs are generally recognized as ordinary and necessary.
2. **Allocable:** Costs are incurred specifically for the award.
3. **Allowable:** Costs are not disallowed by the terms of the award.

Make sure the budget aligns with the technical proposal (work plan).

Coordination with other teams is key to successful budget development!

BUDGET TEMPLATE

Ensure that the Excel format and level of detail respond to donor/proposal requirements and meet the policies of your organization.

USAID FROM THE AMERICAN PEOPLE

MANDATORY BUDGET FORMAT

Budget Summary Spreadsheet: Dollar Costs

Please provide the information requested for each year, the totals, and a by-line-item explanation.
All amounts in US $. If more subcontractors are proposed please insert additional worksheets as needed.

ITEM	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
LABOR						
FRINGE BENEFITS						
ALLOWANCES						
TRAVEL						
EQUIPMENT						
SUPPLIES						
OTHER DIRECT COSTS (Include sub-contracts here)						
SUPPORT FUND						
INDIRECT COSTS						
AWARD FEE POOL						
TOTAL ESTIMATED COSTS						

SUMMARY | DETAIL Prime | DETAIL Subcontractor 1 | DETAIL Subcontractor 2 | Proposed Award Fee Allocation

USAID FROM THE AMERICAN PEOPLE

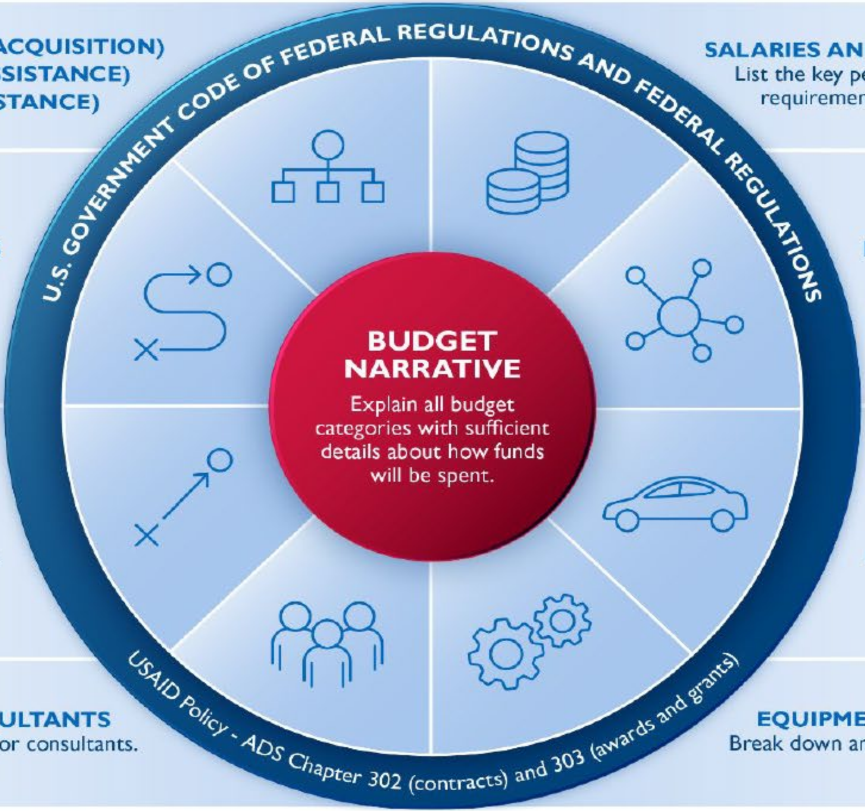
MANDATORY BUDGET FORMAT

Please provide the information requested for each year, the totals, and a by-line-item explanation.
All amounts in US $. If more subcontractors are proposed please insert additional worksheets as needed.

	YEAR 1			YEAR 2			YEAR 3			YEAR 4			YEAR 5			
ITEM	Rate	LOE	Total	Rate	LOE	Total	Rate	LOE	Total	Rate	LOE	Total	Rate	LOE	Total	TOTAL
LABOR (rate; level of effort; total)																
Direct Long Term Labor																
Direct Short Term Labor																
Local Staff																
Home Office																
FRINGE																
ALLOWANCES																
TRAVEL																
Assignment to Post and Entitlement																
International Travel																
Local Travel																
Per Diem																
Transportation of HHE etc.																
EQUIPMENT																
Expendable Equipment																
Vehicles & Non Expendable Equipment																
SUPPLIES																
Grants under Contract Program																
Subcontracts to local NGO's																
OTHER DIRECT COSTS																
SUPPORT FUND																
INDIRECT COSTS																
Overhead																
G & A																
Other Indirect Costs																
AWARD FEE POOL																
TOTAL ESTIMATED COSTS																

BUDGET CATEGORIES

CONTRACTORS AND SUBCONTRACTORS (ACQUISITION)
AWARDEES AND SUBAWARDEES (ASSISTANCE)
GRANTEES AND SUBGRANTEES (ASSISTANCE)



SALARIES AND WAGES
List the key personnel on your project. Note the requirements, salary limits, and cost thresholds.

FRINGE BENEFITS AND ALLOWANCES
Present fringe benefits as direct costs. Break down allowances by specific type.

TRAVEL AND TRANSPORTATION
Separate domestic and international travel. Provide the number of trips and cost per trip.

EQUIPMENT AND SUPPLIES
Break down and explain pricing for equipment and supplies.

CONSULTANTS
Clearly define labor costs and follow daily rates for consultants.

OTHER DIRECT COSTS
Provide proper estimates for both operational and programmatic costs.

INDIRECT COSTS
Apply your organization's preapproved Negotiated Indirect Cost Rate Agreement (NICRA).

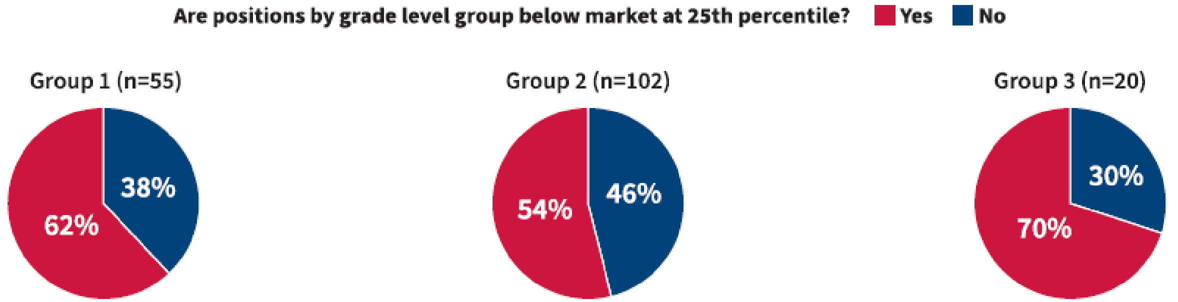
SALARIES AND WAGES (1)

- Every solicitation asks for a list of key personnel and staff required for your project.
- Your budget proposal should include the following for key personnel:
  - Position
  - Name
  - Nationality
  - Daily Rate
  - Number of proposed workdays
  - Total costs
- You must follow the requirements, salary limits, and cost thresholds provided.

SALARIES AND WAGES (2)

ASAP Salary Survey: In April 2021, ASAP administered an online salary survey to gather profile information about each local implementing partner (LIP) supported, including their number of current staff, staff salaries, salary scales if available, benefits information, and reasons for attrition.

Base Salary Comparisons: As shown in the figure below, most positions paid by local partners are paid below the 25th percentile market rate, according to the Birches Group survey.



Grades 1–4
- Cleaner
- Driver
- Maintenance
- Storekeeper
- Administrative Assistant
- Data Clerk

Grades 5–8
- Accountant
- Finance Officer
- Procurement Officer
- Grants Officer
- Project Officer
- Field Manager
- Health Care Worker
- Lab Technician
- M&E Officer
- Knowledge Management Officer
- QA Officer
- Health Care Specialist
- Midwife
- Project Coordinator
- Area Manager

Grades 9–11
- Director of Programs
- Technical Director
- DIrector of Finance
- Director of HR
- Director of M&E
- Chief of Party
- Deputy Executive Director
- Executive Director

SALARIES AND WAGES (3)

Key takeaways from the ASAP survey:

- Be aware of market standards for different positions and implement actions that allow you to be competitive within the local job market.
  - Review your organization's salary scales and revise (with HR) if possible.
  - Do comparisons within the market.
  - Budget for the positions as needed for new awards.
  - Advocate with USAID for what is needed to ensure that you can hire and retain high-caliber staff.

INDIRECT COSTS (1)

- Indirect costs are costs incurred for a common purpose that is too time-consuming/costly to allocate to a specific cost objective.
- These typically include expenses that cannot be attributed to one single activity, such as general and administrative (G&A) costs associated with executive leadership of the organization, cross-cutting support staff and office space, utilities, and clerical and managerial staff salaries.
- To the extent that indirect costs are reasonable, allowable, and allocable, they are a legitimate cost of doing business payable under a U.S. Government assistance award.
- For Fixed Amount Awards (FAAs), there is no line item for indirect costs, but you can factor it into the total costs.

FRINGE BENEFITS AND ALLOWANCES

In addition to salaries and wages, an organization may provide:

- **Fringe benefits** such as vacation days, health insurance, and retirement benefits. These may be presented as direct costs or as a percentage per authorized indirect cost rate
- **Benefit allowances** for costs such as housing, storage, and education.
- Allowances must be broken down by specific type such as housing allowance.

Source: WorkwithUSAID

TRAVEL AND TRANSPORTATION

Separate domestic and international travel costs

Provide the number of trips you anticipate and the estimated cost per trip including airfare and per diem. Describe the basis for calculations.

International travel must:

- Be approved in advance
- Comply with Fly America Act whenever possible

EQUIPMENT AND SUPPLIES

USAID rules require you to break down and explain pricing and justify all equipment and supplies.

- **Equipment:** Non-expendable personal property with a useful life of more than two years and a unit cost of more than $500.
- **Supplies:** Include all other items that cost less than $500 and consumable supplies such as pens, pencils, and paper

Source: WorkwithUSAID

SUBCONTRACTORS

A subcontractor is a partner contracted by a lead, or “prime,” partner to meet activity objectives.

- A subcontractor helps make programming decisions, and its performance is measured against activity goals.
- Submit detailed budgets for each subcontractor in separate worksheets or tabs of your Excel file.
- The format of a subcontractor’s budget should be the same as that of the prime’s budget.

GRANTS PROGRAM

- Many proposals include a Grants Program to solicit additional service providers for specific needs
- A portion of the budget is allocated every year for small grants

CONSULTANTS

Partners may also work with consultants to help with activity implementation.

- A **consultant** is a technical expert or specialist who is not your regular employee. A consultant is also a subcontractor.
- Include consultant labor costs in this section of the budget.
- These costs can also be presented as a separate section of your cost proposal.

OTHER DIRECT COSTS

This section generally includes two types of costs:

- **Field office operations costs**
- **Programmatic costs**

Sometimes, the line between these two categories is difficult to determine.

Do your best to assign direct costs to either the operations or programmatic function.

INDIRECT COSTS (1)

Indirect costs include expenses that cannot be attributed to one activity, such as costs in the head office for implementing multiple activities.

Rates for indirect costs may be submitted in two ways:

- **Established partners** typically apply preapproved rates from a Negotiated Indirect Cost Rate Agreement (NICRA) with the Agency.
- **New partners** without a NICRA may opt to budget costs as “direct costs” or they may propose a rate, such as the 10 de minimis rate.

INDIRECT COSTS (2)

These typically include expenses that cannot be attributed to one single activity, such as general and administrative (G&A) costs associated with executive leadership of the organization, cross-cutting support staff and office space, etc.

Rates for indirect costs may be set in two ways for the US Government:

10 % or 15% De Minimis:

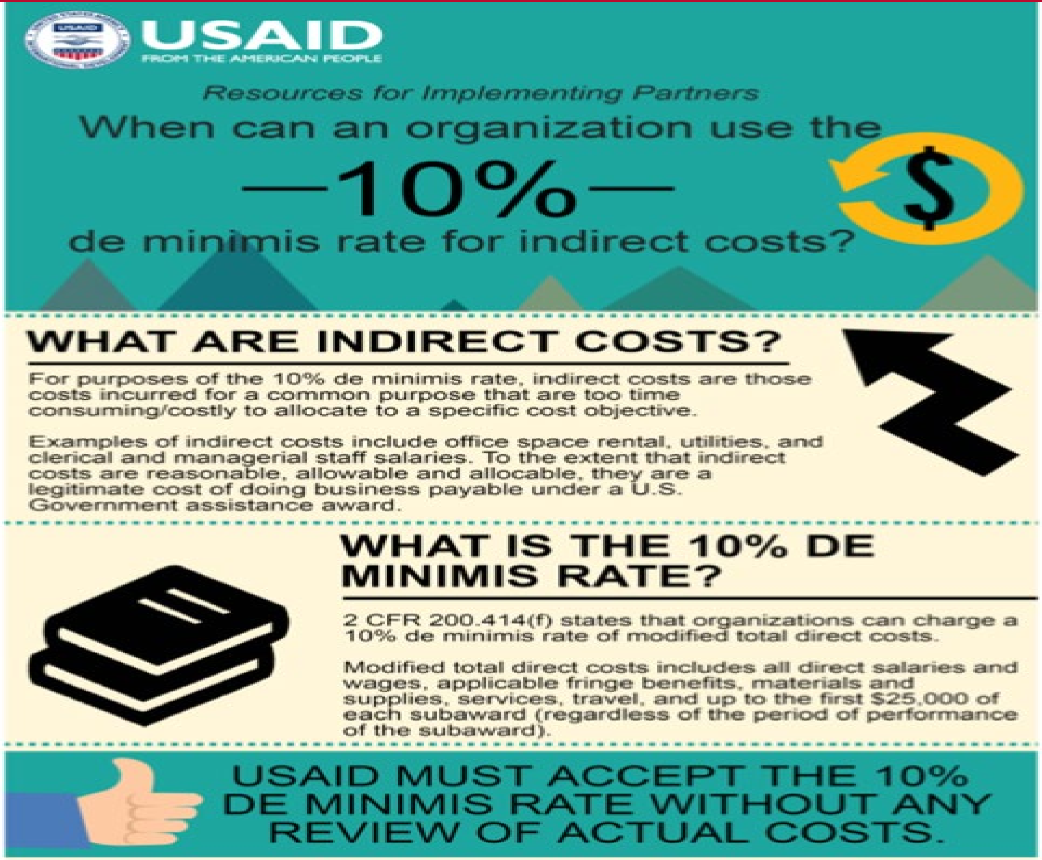
Before October 2024 USAID Local organizations are entitled to 10 % of Modified Direct Costs

After October 2024 it will be 15%.

NICRA:

Well-established partners typically apply pre-approved rates from a Negotiated Indirect Cost Rate Agreement (NICRA) with USAID. (Note: If you have a NICRA, do not include costs in the budget that are covered by your indirect cost rate.)

INDIRECT COSTS (3)



- As per USG regulations, all local not-for-profit organizations are entitled to the ‘10% de minimis’ and must flow it down to eligible subrecipients.
- It must be included in the proposal budget. You cannot request it after you have received funding for your first year. However, you can include it in the Year 2 Budget.
- No supporting documentation is required

10% MODIFIED TOTAL DIRECT COSTS

- Step 1: Start with the final budget
- Step 2: Exclude:
  - Equipment
  - Construction
  - Charges for Patient Care
  - Participant Costs for Training – Scholarships, Fellowships
  - Subrecipients >$25,000
- Step 3: Subtract excluded amounts from the total budget for MTDC
- Step 4: Calculate 10% of MTDC

NICRA

USAID
FROM THE AMERICAN PEOPLE

AN INDIRECT COST RATE GUIDE FOR NON-PROFIT ORGANIZATIONS

Cost Principles and Procedures
Required by 2 CFR 200

Prepared by the
Bureau for Management
Office of Acquisition and Assistance
Cost Audit and Support Division
Overhead, Special Cost, and Closeout Branch

- Well-established partners typically apply pre-approved rates from a Negotiated Indirect Cost Rate Agreement (NICRA) with USAID. (Note: If you have a NICRA, do not include costs in the budget that are covered by your indirect cost rate.)
- It is important local organizations continue to advocate for the NICRA with the Agreement of Contract Officer and their leadership.

Link to UST/TMG webinar: A Guide to Your First NICRA

COST SHARE (1)

- Cost share, or "matching," refers to the resources that the recipient contributes to the total cost of a project.
- Matching becomes a condition of an award when it is part of the approved award budget and is verifiable from the recipient's records; it must be reported on throughout the LOP.
- Only non-USG funds or in-kind items not donated by USG, count towards cost share.
- Contributions come from the prime recipient directly and/or from its sub-recipients. Cost share can/should flow down to sub-partners, with an awareness of the risks.

Template B3: Cost Share Contributions

1. Partner staff time	[value in USD]	[contributor[1]]	[cost category[2]]	[brief description of the purpose]
3. Office Space	[value in USD]	[contributor]	[cost category]	[brief description of the purpose]
4. Venue	[value in USD]	[contributor]	[cost category]	[brief description of the purpose]
5. Materials/Equipment/Supplies	[value in USD]	[contributor]	[cost category]	[brief description of the contribution and its purpose]
6. Transportation	[value in USD]	[contributor]	[cost category]	[brief description of the contribution and its purpose]
7. Direct monetary contributions (project co-funding)	[value in USD]	[contributor]	[cost category]	[brief description of the purpose]
8. Other		[contributor]	[cost category]	[brief description of the purpose]
COMMENTS/NOTES				

COST SHARE (2)

- Many recipients make the mistake of over-promising on Cost Share within the proposal, and it can be very challenging to meet those commitments during the implementation stage.
  - Make sure you have carefully thought through your Cost Share strategy and gotten any subrecipients to sign off on their contributions.
  - Be conservative and realistic when proposing the amounts you will contribute, and make sure that all proposed sources are realistic and will remain available over the Life of the Project (LOP).

BUDGET NARRATIVE

- **A budget narrative includes:**
  - Explanations of budget categories
  - Descriptions and justifications of each line item
  - Sufficient detail for USAID to assess proposed costs and see precisely how its money will be spent
- To make it easy for reviewers to understand, ensure that your budget narrative follows the exact format and order of your detailed Excel budget.
- Instead of showing mathematical calculations, explain the rationale for the proposed cost items. Justify the quantity and unit costs.

BUDGET NARRATIVE EXAMPLE

3.1.3 Short-term Technical Assistance (STTA) Expatriate/Consultants Flights

The budget includes 3 round-trip airfares at $1,500 on average per airfare from the U.S. city to Almaty for consultants' travel to post. Airfare costs are based on current Fly America-compliant, refundable economy-class airfare quotes from our in-house travel agent from a U.S. city to Almaty Kazakhstan. Three trips per year are budgeted for each program year.

3.1.4 Per Diem (Lodging and M&IE) and Ground Transport

Per diem is budgeted based on the rates provided in the Department of State Standardized Regulations (DSSR), Chapter 925. The following assumptions have been budgeted per diem: a) *International Travel Per Diem:* Lodging and M&IE is budgeted at $316/day per the DSSR for international HQ, STTA, and consultants traveling to Kazakhstan. Each trip is budgeted for 14 days inclusive of travel days. We calculated per diem days based on the LOE budgeted under personnel for HQ, STTA, and international consultants. b) *Ground Transport:* $150 per trip is budgeted for ground transport for HQ, STTA, and consultant travel to Kazakhstan.

3. Travel						
3.1 International Travel						
3.1.1 Long-term Technical Assistance (LTTA) Flights						
Mobilization/Demobilization - One Way	to/from	/one way	$350.00	4	$	1,400
3.1.2 Short-term Technical Assistance (STTA) - HQ						
International Airfare - Washington DC to Almaty	Almaty	/RT	$1,500.00	5	$	7,500
3.1.3 Short-term Technical Assistance (STTA) - Consultants						
International Airfare - Washington DC to Almaty	Almaty	/RT	$1,500.00	3	$	4,500
3.1.4 Per Diem (Lodging and M&IE) & Ground Transport						
International Travel Per Diem						
Lodging and M&IE - Per Diem (Almaty)		/days	$316.00	112	$	35,392
Ground Transport	Almaty	/trip	$150.00	8	$	1,200
3.2 Regional Travel						
International Airfare - (Regional)		/RT	$350.00	24	$	8,400
Lodging and M&IE - Per Diem Dushanbe		/days	$320.00	40	$	12,800
Lodging and M&IE - Per Diem Ashgabat		/days	$282.00	40	$	11,280
Lodging and M&IE - Per Diem Tashkent		/days	$279.00	40	$	11,160
Ground Transport		/trip	$150.00	24	$	3,600
3.3 Local Travel						
Local Transportation		/month	$500.00	12	$	6,000
Sub-total Travel						$103,232


POLL

5.2 TIPS AND CONSIDERATIONS FOR A STRONG AND COMPLIANT PROPOSAL PACKAGE

Get the proposal package ready for review

- Once your team has a complete draft, your proposal lead and/or another senior staff member should review the draft to ensure that it is clear, consistent, and professional and that its language reflects the language in USAID's solicitation.
- Obtain as much internal feedback as possible from team members with technical expertise and even from colleagues on other comparable initiatives.
- If your organization has a win theme, make sure that your reviewers are aware of this theme and can evaluate its effectiveness.
- Make sure they have a copy of the solicitation and highlight the evaluation criteria, as well.

KEY CONSIDERATIONS FOR A WINNING PROPOSAL

After a proposal/application has passed the compliance check, USAID reviewers consider three key factors to determine whether it is complete and whether the applicant meets the Agency's expectations:

1. **Past performance:** Experience can help predict success in future efforts.
2. **Cost:** USAID aims to fund the best value for high-quality programming.
3. **Responsibility:** The Agency will consider financial soundness and business integrity.

WRITING/EDITING TIPS

A proposal must grab and maintain the interest of the reader while addressing all evaluation criteria and instil confidence in your technical expertise and ability to communicate.

- **Be clear:** Avoid jargon and overly technical language. If you must explain a technical component of the project, do not assume knowledge or expertise. Spell out all acronyms at first use.
- **Be consistent:** Maintain a consistent tone/voice in your narrative, especially when sections are drafted by different team members. For example, decide if it is appropriate to use "we" to refer to your organization, or to use the third person (e.g., "XYZ Organization).”
- **Be professional:** Avoid informal language, including contractions, and read your proposal from USAID's point of view to assess how well your idea addresses the needs outlined in the solicitation.
- **"Mirror" NOFO language:** Use the same terminology and framing used in the solicitation. A strong proposal should be very easy for the donor to review, speaking directly to the solicitation's evaluation criteria.

TIPS FOR COMPLIANCE WITH THE SOLICITATION

- Create a checklist of everything that is required
- Only provide what the donor has asked for, and why (for the thing being evaluated, not proposing something the donor is not looking for).
- Adhere to the submission deadline.
- Meet eligibility requirements. and
- Comply with instructions, including page limitations. Pages that run beyond the limit will not be evaluated.
- Evaluate and compare/align with criteria.

5.3 PROPOSAL REVIEW AND EDITING (1)

Proposal Review Process (1)

1. Plan for your organization's reviews **at different points** in the proposal development process, e.g.:
   - Early project design stage
   - Mid-way through project design and proposal development
   - At the end, before submission
2. Plan for separate reviews of different aspects/components of the proposal, e.g.:
   - Technical and M&E aspects
   - Management and staffing aspects
   - Financial aspects
   - Overall compliance

PROPOSAL REVIEW PROCESS (2)

3. Identify staff (separate from the proposal team) that can serve as the reviewers of each stage and/or component of the proposal, alert them of timelines well in advance and, if needed, orient them on how to review.

4. Follow a consistent process for each review; give reviewers instructions with clear deadlines; share the call for proposals with them in advance, pointing out scoring criteria.

AIMS OF DIFFERENT TYPES OF REVIEWS

- To assess the pre-planning strategy/goals (review during early stages of design);
- To predict competitors' likely solutions and strategies (review during early stages of design);
- To assess proposed partnerships;
- To predict how the donor will evaluate your proposal, and propose ways to improve it;
- To verify cost proposal matches the technical proposal;
- That technical proposal accurately reflects M&E indicators;
- To verify compliance and execution of your win strategy;
- To review your budget and approve your pricing strategy;
- To confirm that your proposal incorporates necessary changes from previous reviews and is ready to submit (final review); and
- To record lessons learned (after-action review) and improve your proposal development process.

REVIEW QUESTIONS

1. **Cost proposal:** Does it match the technical proposal and management section?
2. **MEL Plan:** Are the selected indicators in line with the technical proposal and does the cost proposal have sufficient funding?

TIME MANAGEMENT IS KEY!

- Keep these reviews on a tight schedule; they may undergo multiple organized levels of review with specific goals at each session.
- The proposal manager supporting your development team will track the schedule your team develops.
- Proposal timeframes are short, so this manager should remind your team members about internal deadlines.

5.4 PROPOSAL FINALIZATION AND SUBMISSION

For proposal finalization and packaging, allocate plenty of time on the proposal development calendar for:

- **Copy-editing:** Check for spelling errors, grammar, consistent word use, acronyms, etc.
- **Formatting:** Include headers, footers, page numbers, signatures, alignment, tables, text boxes, graphics, etc.
- **Packaging:** Compiling the various components and meeting requirements (number of hard copies, etc.)
- **Final compliance check/sign-off**

PROPOSAL SUBMISSION

- Aim to submit your application 24 to 48 hours before the deadline (in case of ICT problems, for instance, and other unforeseen last-minute issues).
- Ensure that you use the correct submission email address; copy others at your organization.
- Review the solicitation for any email size restrictions or other submission instructions.
- Ask the donor for confirmation of receipt. (Call them, if needed).

3

Q&A

MODULE 6:
POST-SUBMISSION PHASE

But we submitted the proposal – aren’t we all done?!

6.1 RECOMMENDED POST-SUBMISSION ACTIONS

- Hold an **after-action review** involving the proposal team and reviewers; you might also have a separate one with the consortium partners.
- Debrief as a team to discuss how you might improve the process the next time you apply for an award.
- Prepare for the donor to come back with questions/clarifications on your application.
- If the donor notifies you that you weren’t successful, request in writing a debrief or a copy of their evaluation of your response (within 10 days of notification from USAID).
- Use any feedback obtained to build expertise, enhance systems, and reassess alignment with donor priorities.
- After USAID has announced that your proposal has won, notify all consortium members.

KEEP LEARNING AND PRACTICING

- Writing a USG proposal requires teamwork, attention to detail, and awareness of deadlines. The process can be daunting for organizations that have never applied for such awards, but with discipline and motivation, you can craft a strong and competitive proposal package.
- Each time you apply for another proposal, you will get better and better at it – especially if you are applying the learnings from post-action reviews and the feedback you get from the donor.

FINAL Q&A & WRAP UP

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ASAP II

ACCELERATING SUPPORT TO ADVANCED LOCAL PARTNERS II

Thank you for your time and active participation!

PEPFAR

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