

**SAVING LIVES AT BIRTH: A GRAND CHALLENGE  
FOR DEVELOPMENT (Round II)**

**REQUEST FOR APPLICATION (RFA)**

**RFA NUMBER: RFA-OAA-12-000005**

**Primary Point of Contact:**

**GrandChallenge2012@usaid.gov**



**BILL & MELINDA  
GATES foundation**





**Issuance Date:** Wednesday, February 22, 2012

**Closing Date:** Monday, April 2, 2012

**Closing Time:** 2:00 p.m. EST

**Questions Due Date:** 5:00pm EST, Friday, March 7, 2012

**Subject:** Request for Application (RFA) for Saving Lives at Birth: A Grand Challenge for Development (Round II)

Dear Prospective Applicant:

USAID<sup>1</sup>, the Government of Norway, the Bill & Melinda Gates Foundation, Grand Challenges Canada, and DFID invite applications to respond to **Saving Lives at Birth: A Grand Challenge for Development (Round II)**. This request for applications describes this Challenge targeting maternal and neonatal health and the types of activities covered; funding available and the process and requirements for submitting applications; criteria for evaluating applications; and refers prospective applicants to relevant documentation on the internet. Saving Lives at Birth: A Grand Challenge for Development anticipates awarding up to 30 grants as a result of this RFA, with a maximum of \$18 million USD in funding for Fiscal Year 2012. To this end, the Saving Lives at Birth Challenge is seeking applications from eligible institutions as described in Section III of the RFA.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Prospective Applicants that are unable to retrieve the RFA from the Internet can request an electronic copy by email at [GrandChallenge2012@usaid.gov](mailto:GrandChallenge2012@usaid.gov).

**DUE DATE:** Applications shall be received no sooner than March 19, 2012 and no later than Monday, April 2, 2012 at 2:00 pm EST via [savinglivesatbirth.net/apply](http://savinglivesatbirth.net/apply). Applicants should retain a copy of their application and accompanying enclosures for their records.

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<sup>1</sup> Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government (USG), as represented by the U.S. Agency for International Development (USAID).

**QUESTIONS:** Prospective applicants who have questions concerning the contents of this RFA shall submit them in writing no later than 5 pm. EST on **Friday, March 7, 2012** email at [GrandChallenge2012@usaid.gov](mailto:GrandChallenge2012@usaid.gov).

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit any of the Partners to pay for costs incurred in the preparation and submission of applications. Further, the program reserves the right to reject any or all applications received.

Sincerely,

Marcus A. Johnson, Jr.  
Agreement Officer

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## SECTION A. PROGRAM DESCRIPTION

### Program Summary

United States Agency for International Development (USAID), the Government of Norway, the Bill & Melinda Gates Foundation, Grand Challenges Canada, and UK's UK Department of International Development (DFID) have joined together to launch the second wave of **Saving Lives at Birth: A Grand Challenge for Development**.

Together, we call for groundbreaking prevention and treatment approaches for pregnant women and newborns in poor, hard-to-reach communities around the time of childbirth. The estimated 2.6 million stillbirths, 3.1 million neonatal deaths and 360,000 maternal deaths that occur globally each year signal a major gap for intervention specifically around childbirth and the early postnatal period – a time when mothers and babies are most vulnerable and global progress in reducing mortality has been particularly poor. This gap in interventions is particularly acute in poor, underserved communities that are the most difficult to reach and among women who are disadvantaged.

Innovative ideas that can leapfrog conventional approaches are critical in this area. If we are to accelerate substantial and sustainable progress in reducing maternal and newborn deaths and stillbirths at the community level, we need innovative prevention and treatment approaches across three main domains:

- (1) Science & technology;
- (2) Service delivery; and
- (3) Demand-side innovation that empowers pregnant women and their families to practice healthy behaviors and be aware of and access health care during pregnancy, childbirth and the early postnatal period, especially the first two days after birth.

We are particularly interested in investing in approaches that incorporate the latest scientific, technological, behavior change, and information and communication advances into radical solutions.

Significant breakthroughs in innovation often come about when new ideas and disciplines are applied to long-entrenched problems. New technologies and approaches transform insurmountable development challenges into solvable problems. To harness this ingenuity, we encourage partnerships that bring together diverse expertise from non-traditional partners, particularly those that include private sector partners. We are calling on for-profit companies, non-governmental organizations, academic/medical research institutions, faith-based organizations, civic groups and foundations across a range of disciplines to take up this challenge

Critical to the success of new innovations and approaches is a clear understanding of how best to implement them at scale with priority

emphasis on target populations. To foster sustainability, we encourage ideas that marry science and technology solutions with social and business innovation<sup>2</sup>. Successful implementation at scale may include private sector expertise and engagement in deploying, advocating for or sustaining solutions. Development of new interventions, technologies or approaches and their successful scale up will complement efforts to strengthen health systems and to address broader determinants of health including poverty, inequity (including gender inequity), and access to water and sanitation resources, all of which are needed to address this grand challenge for development.

Audacious but achievable ideas with the potential to lead to transformational change will be swiftly funded through at least one of two funding streams:

- (1) **Seed Funds** to demonstrate proof of concept and
- (2) **Transition Funds** to transition successful innovations toward scale up.

These investments in potentially high-return projects are aimed to identify and support transformational approaches to women's and newborns' health that can be scaled up to dramatically – and sustainably – reduce deaths and poor birth outcomes for millions of women and newborns in the hardest to reach communities of the world.

This call for applications is the second one issued under this program. The Partners launched Saving Lives at Birth on March 9, 2011, issuing the first global call for transformative ideas to address this grand challenge. We received more than 600 submissions from the global community and, through a competitive process, identified 77 finalists with the most potential to tackle this grand challenge. We invited them to the inaugural Development Exchange, held in late July 2011, which served as the last stage of review process and the first step in building a global community of innovators. At the end of the high-level event, we selected 24 innovators for award that demonstrated the most promising ideas that have the potential to scale up and sustain impact over time. Each of finalists and awardees are highlighted on the Saving Lives at Birth website ([www.savinglivesatbirth.net](http://www.savinglivesatbirth.net)).

## Problem Statement

The onset of labor marks the start of a high-risk period for both mother and baby that does not ease until at least 48 hours after birth. During this short period of time, an estimated 150,000 maternal deaths, 1.6 million

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<sup>2</sup> This approach is referred to as Integrated Innovation and is described more in: [www.grandchallenges.ca/files/news/integratedinnovation.pdf](http://www.grandchallenges.ca/files/news/integratedinnovation.pdf)

neonatal deaths, and 1.2 million stillbirths occur annually.

- For the mother, the critical conditions occurring during pregnancy and after labor include hemorrhage, hypertensive disorders such as preeclampsia and eclampsia, serious infections, and obstructed labor.
- For the newborn, the critical conditions occurring after birth are serious infections (sepsis, meningitis, pneumonia, and diarrhea), intrapartum-related deaths ("birth asphyxia"), and complications of preterm birth.
- Important causes of stillbirth include intrapartum asphyxia, maternal and antepartum hemorrhage, fetal bacterial infection, obstructed labor, syphilis, and malaria.
- Important causes of maternal and newborn/infant complications result from next births that are spaced too closely.

Almost all of the deaths during this high-risk period occur in low- and middle-income countries, especially in sub-Saharan Africa and South Asia, where access to quality care is also the poorest. Evidence-based interventions—such as skilled attendance at delivery; emergency obstetric and newborn care; parenteral administration of drugs; blood transfusions; kangaroo care for newborns; early initiation of breastfeeding; hygiene; and rapid diagnosis and early treatment of infections—are available to manage complications around the time of birth. However, these interventions are not always available to the women and children who need them. Since many opportunities to optimize birth outcomes occur before and after the time of birth, it is also important to improve women's access to evidence-based prenatal care, family planning resources (including contraception), birth spacing and delay, proper nutrition, and postnatal care.

In resource-poor locations, care at the time of birth is further impeded by the fact that people often lack material resources, electricity, clean water and adequate transportation to travel to hospitals, and that there are few trained health professionals or facilities capable of providing basic and comprehensive emergency obstetric care. Where trained professionals and facilities exist, quality of care can be further impeded by poor management and supervision, non-functioning supply chains, and lack of adherence to standard norms and protocols. Finally, local cultures, traditions, and beliefs, including gender norms that limit autonomy and decision making, may also prevent women from practicing healthy behaviors, or seeking and receiving life-saving care at the time of birth.

Taken together, these limitations leave poor, underserved women—who have the greatest geographical and financial challenges in securing quality care at the time of delivery—and their babies at the highest risk of poor pregnancy outcomes.

## The Challenge

We seek to address roadblocks to healthy pregnancies and births in three major domains:

1. *Science & Technology*: lack of medical technologies appropriate for the community or clinic setting;
2. *Service Delivery*: lack of quality health services, including inadequate numbers of trained, motivated, equipped and properly located health staff and caregivers; operating without guidelines or evidence-based practices and limited by operational bottlenecks;
3. *Demand*: insufficient awareness, motivation, empowerment, and ability to access health care or adopt healthy behaviors before, during, and after pregnancy.

**Science and Technology:** We invite bold ideas for science and technology advances that prevent, detect or treat maternal and newborn problems, prior to conception, during the antenatal period, at the time of birth and in the early postnatal period in the home, community or in peripheral health facilities. Technological solutions do not need to be “high tech,” but they should be low-cost and designed with the user needs in mind. Examples may include simpler or portable technologies for newborn resuscitation; identification and care of preterm and low birth weight newborns; infection diagnosis and management, including HIV/AIDS and sepsis; early detection of high risk pregnancies; and prevention and treatment of preeclampsia/eclampsia. We also invite applications that consider technical innovations in nutrition and family planning, including healthy timing and spacing of pregnancy, that contribute to improved maternal and newborn health.

**Service Delivery:** We invite bold ideas for new approaches to provide high-quality labor and delivery services and pre and postnatal care, including postpartum family planning and PMTCT. Examples may include new ways of using information and communication technology (ICT) to improve health and healthcare delivery in hard-to-reach areas, novel incentive schemes for recruiting and retaining skilled personnel, novel training and/or supervision programs for community-based or alternative health workers, or mechanisms to improve referral and transportation of mothers with complications and sick newborns.

**Demand:** We invite bold ideas for empowering and engaging reproductive-age women, their families and their communities. Demand creation includes behavior change communication, social marketing, and/or advocacy as well as financial incentives for use of health services/healthy behaviors. The Saving Lives at Birth partnership is looking for ideas that reduce barriers to seeking, accessing, and receiving

evidence-based care. Such barriers include economic, social, and political factors, such as poverty, gender inequality, and limited education. Examples may include innovations that empower women and/or confront cultural and social norms that limit women's decision-making autonomy; innovative use of social networks, interpersonal communications and other new methods to provide/reach families with culturally relevant and gender sensitive information; mechanisms to incentivize individuals to seek care and/or adopt healthy behaviors and to negotiate for improved practices, including novel financing mechanisms to reduce costs or target scarce resources at those unable to pay; and mass communication methods that can help target individual and collective behavior to improve the uptake of care around the time of birth.

Any of these domains, alone or in combination, can help to improve availability and quality of maternal and newborn health care. Since many opportunities to optimize maternal and birth outcomes occur before and after the time of birth, solutions do not need to focus solely within the window between labor and 48 hours post-delivery. Where life-saving interventions exist but have not been successfully deployed or implemented, we invite bold ideas for overcoming specific barriers to scaling up.

We encourage for seed grants– and require for transition grants - bold ideas that integrate the three domains outlined above – technology, service delivery and demand creation (**integrated solutions**).

**Program  
Description and  
Structure**

This Grand Challenge for Development brings together multiple Partners – USAID, the Government of Norway, the Bill & Melinda Gates Foundation, Grand Challenges Canada, and DFID - to support a single challenge. The World Bank is also an affiliate of the program. Projects will be jointly selected through a unified application process. Successful innovators will be funded and managed independently by one of two funding mechanisms – pooled resources from USAID, the Bill & Melinda Gates Foundation, and the Government of Norway through grants awarded and administered by USAID, or grants awarded and administered by Grand Challenges Canada. DFID will contribute funds to support grants managed by either the pooled fund and/or Grand Challenges Canada. Successful innovators will be supported collectively as a *community of innovators* by all five of the Saving Lives at Birth Challenge Partners. The Partners will work with this community to foster learning, collaboration, and shared approaches.

The Saving Lives at Birth Challenge will invest in a portfolio of projects. Through this portfolio, we will seek groundbreaking innovations by:

- **Providing seed funds** to support the development and validation

of ideas capable of impacting health outcomes for pregnant women and their babies in low-resource settings

- **Providing transition to scale funds** to develop, refine, and rigorously test the impact of integrated solutions that have previously measured promising health outcomes in a controlled or limited setting and have the potential to credibly scale to improve the lives of millions of pregnant women and newborns in multiple countries. Transition funding is limited to integrated solutions that unite technology, service delivery, and demand.

Key features of the Saving Lives at Birth Challenge are:

- A brief application
- Rapid turnaround time—we aim to select grants within five months from the proposal submission deadline
- Opportunities for shared learning and collaboration between innovators, funders, and other public health experts including participation by all finalists in the Development Exchange July 12-14, 2012 in Seattle, Washington and participation by awardees in meetings of the Saving Lives at Birth community at future Development Exchange events or annual Grand Challenges meetings hosted by the Bill & Melinda Gates Foundation, Grand Challenges Canada, USAID, the Foundation for National Institute of Health, and other Partners
- A review process designed to identify potentially groundbreaking ideas that show great promise. Our review process is based on reviewers with a track record in identifying innovative ideas who will recommend the applications they find most pioneering and that have the potential for greatest impact.

#### **Four waves of funding:**

It is expected that the Grand Challenges initiative will invite applications in at least four separate waves – this RFA is requesting proposals for the second wave of funding.

#### **Anticipated Number of Awards**

Seed grants (valued up to \$250,000 USD each) and transition grants (valued up to \$2 million USD each) will be awarded in this second wave of funding. Successful seed grants will be eligible to compete for follow-on transition grants in future waves of funding.

Assuming a sufficient number of applications of merit, and subject to the availability of funding, this second wave of the Saving Lives at Birth Challenge is expected to support 25 seed grants and 5 transition grants of varying amounts, although actual awards may vary for each category. Seed grants will support projects that span up to two (2) years and transition grants for projects spanning up to four (4) years. The

Partners reserve the right to fully or incrementally fund selected application(s) as well as to partially fund selected application(s).

### Seed Funds

- **Focus:** Seed funds will be provided to support the development and validation of ideas capable of impacting health outcomes for pregnant women and their babies in low-resource settings. **Integrated solutions** (approaches that integrate technology, service delivery, and demand creation in innovative ways) are encouraged but not required. If seed grants propose an integrated solution, all three components (science and technology, service delivery, and demand) do not need to be novel; the innovation may rest in the integration of the components that enhances the effect on improved birth outcomes over that of each component in isolation.
- **Eligibility:** Proposed solutions for seed funds may have been previously tested (but preliminary data are not required), but should not be current standard practice; however, innovative variations on existing approaches may be considered (e.g., a new means to deliver an existing service or a new way to make an old model demonstrably more effective or cost effective).
- **Funding:** Funding levels will correspond to the scope and scale of the innovation but will not exceed \$250,000 USD per project. USAID administer seeds will be awarded using a Fixed Obligation Grant.<sup>3</sup>
- **Length of Award:** Seed projects will be funded for up to two (2) years.
- **Number of Awards:** An anticipated 25 applications will be funded in this second wave of funding, although actual numbers may vary.

### Transition Funds

- **Focus:** The Saving Lives at Birth Challenge will award transition funds to develop, refine and rigorously test the impact of integrated solutions that have previously demonstrated beneficial health outcomes in controlled or limited settings and have the potential to credibly scale to improve the lives of millions of pregnant women and newborns in multiple countries.
- **Eligibility:** Projects for transition funds must have previously demonstrated beneficial health outcome(s) in controlled or limited settings with promising results to warrant expanded support. Transition

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<sup>3</sup> A Fixed Obligation Grant schedule of disbursements must be associated with one or more very specific program benchmarks where there is a certainty about the cost of achieving the each benchmarks cost and where accomplishment each benchmarks by the Beneficiary is readily discernible in fact and in time. The schedule of disbursements reflects both the timing and the amount of beneficiary payments for the accomplishment of each benchmark, and it is therefore essential that the Grants Evaluation Committee be satisfied that there is sufficient cost history to negotiate the schedule of disbursements.

Funds will be limited to integrated solutions only (approaches that integrate science and technology, service delivery, and demand domains in innovative ways). All three components (science and technology, service delivery, and demand) do not need to be novel; the innovation may rest in the integration of the components that enhances the effect on improved birth outcomes over that of each component in isolation.

- **Funding:** Funding levels will correspond to the scope and scale of the innovation but will not exceed \$2 million USD per project.
  - Some innovations may require testing at various levels (local, regional, and across several regions) in the transition stage.
- **Length of Award:** Transition grants will be funded for up to four years.
- **Number of Awards:** An anticipated five (5) applications will be funded in the second wave of funding, although actual numbers may vary.

### **Moving Between Stages**

Projects will come into the program portfolio at both the seed and transition stage described above. We expect only a small portion of seed grants to demonstrate sufficient success to be competitive for further funding under the transition to scale category.

Projects receiving seed funds can apply for transition funds in future waves of funding under this program.

- Transition grants may not be the immediate next step for successful seed fund projects; seed grant solutions may need to apply for continued seed funds to support the further development and validation of their solutions.
- About 10-20 percent of seed fund projects are anticipated to be sufficiently successful to be competitive for funding at the transition stage, though this may vary with the quality of the portfolio of projects.
- Simply meeting the milestones will not automatically lead to the next stage. As all seed grantees would need to compete with other applicants in the transition to scale category, only the most successful and promising seed grants may be in the competitive range at the next stage.

The final step for successful transition projects will be to fully scale up projects in relevant countries and/or regions. As other public or private funders adopt these interventions at scale, they will no longer require support from the Saving Lives at Birth Challenge. Graduation to scale will be a key metric of both innovation and program success.

### **What We Are Looking For**

#### **Interventions that:**

- Substantially increase demand for and access to primary health

interventions for women and newborns (for example, by at least 50 percent for interventions with low coverage);

- Substantially improve the quality of care as measured by health outcomes; and
- Improve and sustain healthy behavior.

**Solutions should:**

- Be "off the beaten track," daring in premise, and clearly differentiated from standard practice;
- Enhance uptake, acceptability and provide for **sustained use** (potential for sustainability as defined as cost-recovery, sustained use, and sustainable impact);
- Be **low-cost** or highly cost-effective;
- Have a strong likelihood of achieving a **substantial impact** on one or more important adverse maternal, fetal, or neonatal health conditions described in the problem statement above;
- Be **scalable** in resource-poor settings; and
- Be able to be **monitored, measured and evaluated**.

**Competitive applications will address:**

- The context in which the solution will be delivered (e.g., the user's needs; community characteristics; connectivity with health authorities and existing health facilities; local leadership, government and civil society buy-in)
- How the solution will have a substantial impact on maternal and newborn health
- How the solution will be delivered/administered (e.g., frequency of service, personnel, etc.)
- How the solution will improve upon the best existing alternative(s) available today
- How the solution will (or can) integrate science and low-cost technology and approaches, service delivery and demand.
- How the organization is positioned to carry out the work successfully (including partnerships and organizational and financial sustainability)
- The duration of the time required to implement proposed solution
- A concrete plan for measuring results
- How the solution addresses determinants of health, public policies, and other ethical / social / cultural / legal frameworks that could limit uptake
- How the solution incorporates financial models or business systems to develop and deliver the solution affordably and sustainably

## **Strong Areas of Interest**

We are particularly interested in novel innovations in any of the following areas, but not limited to:

- Simple, low-cost technologies adapted or designed for use in hard-to-reach, low-resource settings (e.g., simpler or portable technologies for newborn resuscitation, identification and care of preterm and low-birth weight newborns, infection management, prevention and treatment of preeclampsia/eclampsia, etc)
- Mechanisms to improve referral and transportation of mothers with complications and sick newborns
- Ways that Information and Communication Technology (ICT) can be used to improve health, healthcare delivery, and accountability for maternal and newborn health in low-resource areas in new, measurable, and integrated ways (e.g. use of laptops, cell phones, smart phones, broadband internet, USB connected devices).
- Mass communication and other technologies and approaches targeting individual and collective behaviors to increase access, uptake and retention in antenatal care, facility based delivery labor and delivery and postnatal care, including healthy timing and spacing of pregnancies through family planning and postpartum family planning, Prevention of Mother to Child Transmission (PMTCT) and other HIV/AIDS prevention, care and treatment services for pregnant women, infants and children.
- Interventions that reduce barriers to accessing or receiving appropriate treatment and evidence-based care.
- Solutions that recognize the critical roles of the end-user in the development process.

We encourage integrated solutions that bring together low-cost technologies, service delivery, and demand innovation in transformative new ways.

## **SECTION B: ELIGIBILITY CRITERIA**

### **What We Will Not Fund**

- Applications that do not present a coherent experimental plan with appropriate metrics and methods to determine success or failure
- Incremental solutions that are only slight improvements over existing approaches, including mHealth approaches that do not offer transformational improvements or expansion compared with current practices or address how to move towards integration of multiple information systems into one solution
- Proven approaches that have already tackled scale up challenges in low and middle income countries
- Solutions that are not applicable to the eligible countries (see Section C)
- Approaches that detract from favorable family practices, such as

those that prevent immediate and exclusive breastfeeding or skin-to-skin care

- Approaches that reinforce harmful gender norms
- Basic scientific or laboratory-intensive research in the natural sciences. Basic research is defined as research directed towards fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind
- Theoretical and/or descriptive socio-economic research
- Approaches that address only tertiary care or mental health
- Replication of an approach in a new geography in the absence of an innovative implementation strategy

## **Measuring Success**

The work proposed in the application must include a clear set of key experiments, methodologies or activities that test the idea in a way that could provide sufficient evidence of impact. In many cases, but not all, this will mean that a solution will be tested using a robust experimental design including control and intervention groups with a clear set of indicators to define success.

Innovations will ultimately scale up outside of this program, either by the private sector, the public sector (including host country governments and donors or civil society groups), or some combination of the two.

For those innovations anticipated to be publicly provided (or by civil society), a key metric for success is cost-effectiveness and evidence of demand among country governments and civil society.

For those innovations for which scaling by the private sector without public subsidy is planned, the Saving Lives at Birth Challenge will look for evidence of demand among target users and a compelling value proposition (an analysis and quantified review of the benefits, costs and value that an innovation can deliver to target groups).

## **SECTION C: APPLICATION GUIDELINES AND SUBMISSION INSTRUCTIONS**

### **Overview of Application Process**

The Saving Lives at Birth Challenge seeks innovative ideas that can leapfrog conventional approaches. Every aspect of the program, including the carefully designed topics describing critical scientific barriers to progress in global health, the abbreviated application, and the rapid review process, are designed to swiftly award funding to groups that are testing ideas that could lead to significant breakthroughs in global health.

Issuance of this RFA does not constitute an award or commitment on the part the U.S. Government or any of the Partners, nor does it commit any

of the Partners to pay for costs incurred in the preparation and submission of an application.

Procedures for submitting applications are outlined below.

## **Eligibility Criteria**

We welcome and encourage applications from all types of organizations including for-profit companies, foreign and domestic non-profit organizations, faith-based organizations, foundations, academic institutions, civic groups and regional organizations. **Individuals and governments are not eligible to apply.**

Innovators new to Grand Challenges competitions, including non-development experts and applicants from low- and middle-income countries are particularly encouraged to apply.

We also encourage partnerships that bring together diverse expertise. Many applicants in the first wave included leadership from partners in low and middle income countries. Where joint partnerships include innovators from low-and middle-income countries, we encourage the partnership to designate the low- and middle-income country partner as the Project Manager/ Principle Investigator (PI).

Grantees must be legally recognized organizational entities under applicable law and be able to document the above.

Applicants must follow the guidelines in the Application Instructions.

Please note that multiple submissions from an institution are allowed. Each submission, however, must be associated with a different primary contact (Project Manager/Principal Investigator) and propose a different idea or experiment. We encourage institutions to submit their best idea.

The Partners are committed to standardizing the grant management and reporting process across managing organizations to the greatest possible extent. Please note, however, that finalists and awardees will be subject to the rules and regulations of the respective organizations managing the grants. Therefore, we encourage applicants to familiarize themselves with the eligibility requirements and conditions of funding of both mechanisms.

See Section E: Award and Administration below, for links to the relevant regulations, standard provisions and required certifications that applicants will be required to submit upon request prior to award depending on whether the project is funded through the pooled fund (managed by USAID) or through Grand Challenges Canada. Applicant organizations based in Canada, low- and middle-income countries, according to the World Bank classification, may be managed by Grand Challenges Canada.

## **Eligible Country List**

The Saving Lives at Birth Challenge seeks applications that have an operational focus in low-income countries, as defined by the World Bank. Proposals with an operational focus in middle-income countries will also be considered.

Applicants from organizations based in, or applications with an operational focus in, the following countries are not eligible: Cuba, Iran, North Korea and Syria.

## **Timetable**

### **Submission Deadlines**

*Applicants must submit applications between March 19, 2012 and April 2, 2012.*

### **Competition Timeline and Key Steps**

*The estimated timeline from application to award is 6 months.*

*December 29, 2011: Draft RFA issued*

*December 29-January 30, 2012: Applicants invited to submit questions on the Draft RFA*

*January 24, 2012: Pre-solicitation Meeting*

*February 22, 2012: Final RFA released*

*February 22 – March 7, 2012: Applicants invited to submit questions on the RFA*

*March 7, 2012: Questions due by 5:00 pm EST*

*March 19, 2012 through April 2, 2012: Applicants invited to submit applications*

*April 2, 2012: Call for applications closes at 2 p.m. EST*

*July 12-14, 2012: Development Exchange in Seattle, Washington*

*By September 30, 2012: Finalization of awards*

## **Submission Instructions**

The following are instructions for how Applications shall be submitted:

1. Applications shall be submitted from March 19, 2012- April 2, 2012. Applications will not be accepted before March 19, 2012 and after April 2, 2012, 2:00 p.m. EST.
2. Applications shall be submitted electronically via [savinglivesatbirth.net/apply](http://savinglivesatbirth.net/apply). More information on application submission is found in the Application Instructions.

It is the applicant's responsibility to ensure that files are complete and transmitted by the deadline. The applicant bears full responsibility for data errors or omissions.

Facsimile proposal submissions will not be accepted.

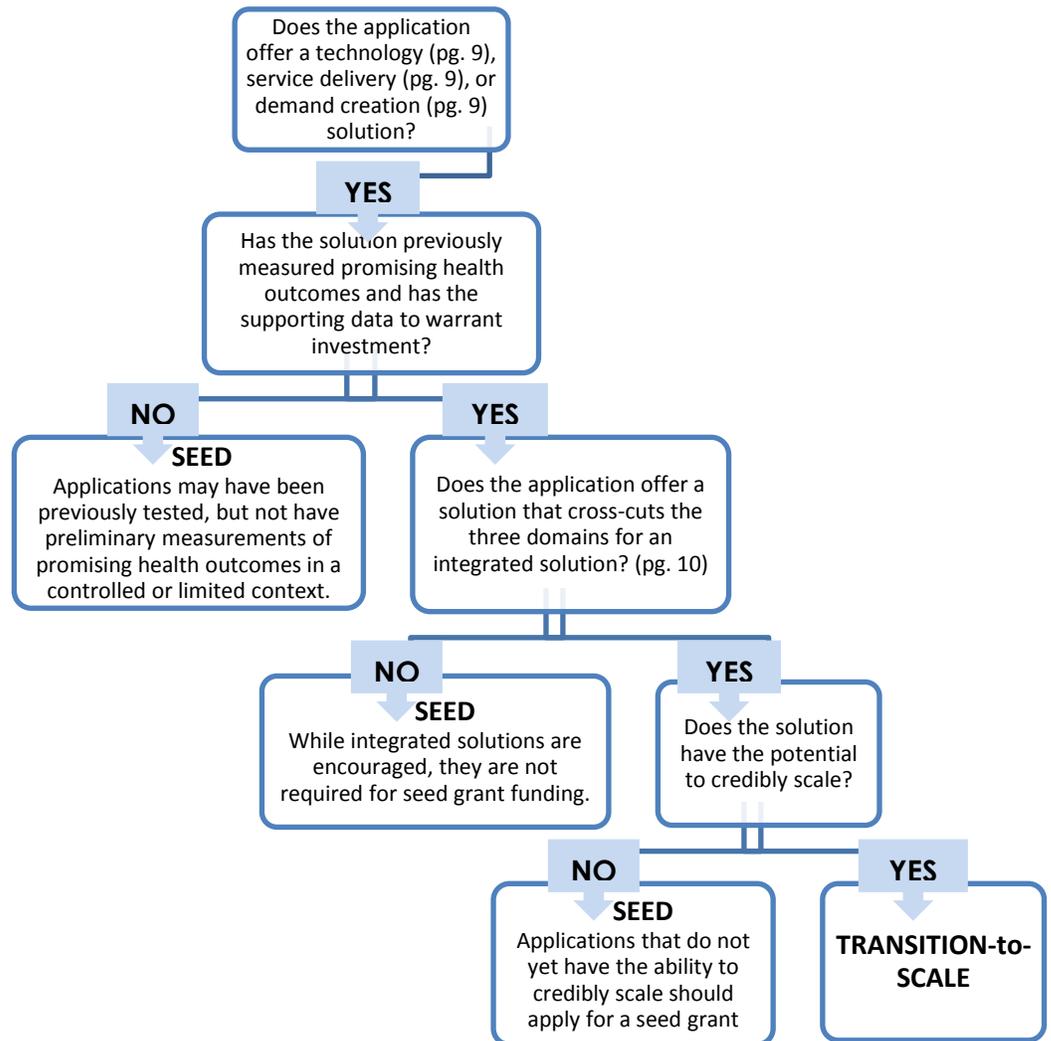
The Saving Lives at Birth Challenge has the authority and ability to invite applicants to submit an application for funding. *Note: An invitation to submit an application does not constitute an award. The program may choose to not fund applications even after they have been requested.*

### Deciding Between Stages (Seed vs. Transition)

Applicants should use the following decision tree to determine whether to submit a project for a seed or transition grant. Note that applications for transition to scale funds will not be considered for seed funds, nor will seed applications be considered for transition funds, so selection of the appropriate grant type is critical.

#### Decision Tree

Follow the blocks of the decision tree to determine the appropriate funding stage for an application.



## Application Instructions

Applicants should use the following instructions and follow the simplified application format.

### Content of the Application Package

An initial application package consists of a technical application, supporting information, and Standard Forms.

*For those applicants advancing beyond the innovation screen, a budget narrative and past performance references will also be requested.*

All applications must be written in English. Applications should be written clearly and with a minimum of jargon as reviewers will possess a variety of backgrounds and technical expertise.

Page limits:

- Technical Applications, including cover page, must be no longer than 4 pages for seed grants (3 pages plus the cover page) and 10 pages for transition to scale grants (9 pages plus the cover page). All applications must use a standard font no smaller than 11-point font with one-inch margins.
  - Any charts or tables must be included within the technical application and will be considered within the page limit.
  - **Technical Applications containing more than 4 pages for seed grants and 10 pages for transition grants will be ineligible for funding.**
  - References and citations to academic publications or other resources are not required and, if included, must fall within the respective application page limits.
- Supporting information, including biographical sketches and letters of support, must not exceed the information required below. Additional information not requested will be disregarded.
- Supporting information is not included in the stated page limits.
- There is no limit to the number of pages for Standard Forms.

For those applicants advancing beyond the innovation screen, specific guidance on budget narratives will be provided along with the request for the additional information.

Applications that do not adhere to the above restrictions will be ineligible.

### Technical Application

The Technical Application consists of a cover page and the body of the application. The applicant shall submit a technical application that addresses the items listed below and that is organized in the order described below.

### Cover Page (Not to exceed 1 page)

Applicants are encouraged to carefully review the instructions listed below for Parts A and B.

#### Part A: Basic Information

- Name and address of applicant
- Type of organization (e.g., for-profit, non-profit, university, etc.)
- Point of contact (lead contact name; relevant telephone, fax, and e-mail information)
- Name and email of the Project Manager Where joint partnerships include innovators from low-and middle-income countries, we encourage the partnership to designate the low- and middle-income country partner as the Project Manager.
- Signature of authorized representative of the applicant
- Concise title and objective of proposed activity
- Application category (seed grant or transition to scale grant)
- Domain of application – one or more of the following: technology, service delivery and/or demand creation.
- Focus of application – one or more of the following: maternal health, neonatal health, stillbirth.
- A short, concise statement describing what the Savings Lives at Birth funding will achieve within the context of the overall activity. This statement should be specific to achievements with the Saving Lives at Birth funding and time period of award only and not reflective of longer-term goals if the project includes multiple donors and/or several stages.

#### Part B: Summary Paragraph (abstract)

- Include a summary paragraph describing the project innovation. The summary should include:
  - *Rationale*: What problem will the project address?
  - *Approach*: What approach(es) does this project take to address the problem (technology, service delivery, and/or demand creation)?
  - *Objective and Impact*: What is the primary objective and expected impact of the project if successful?
  - *Innovation*: What makes this project innovative and a significant improvement upon standard practice?
- Summary shall not exceed **250** words. **Applications with project summaries longer than 250 words will be declared ineligible for funding.**
- Note that the Partners will conduct an initial Innovation Screen based on the summary text so careful attention to this section is important. Reviewers will screen against the Innovation Screen criteria listed on page 30 of the Review process.
- Also note that the summary paragraph of finalists and eventual award recipients may be used for public communication before and after the awards are made, including the time leading up to the Development Exchange. The Saving Lives at Birth Partners reserve the right to make minor edits to summaries in order to enhance their

readability for public communication. Because the summaries will be used publicly, proprietary information should not be disclosed in the project summary.

### Body of Application

The project proposal should be presented in Sections I, II and III according to the instructions within each section below. If an applicant chooses to include charts, graphs, or references, add them within the appropriate section. All of the sections below, including the use of charts, graphs, or references, should not exceed three pages for seed grants and nine pages for transition grants. Applicants are requested to be specific about the geographic location(s) where the proposed activities will occur and the potential geographic or regional applicability. Additionally, applicants are encouraged to consult the evaluation criteria below when formulating the technical application.

#### Section I. What is your idea?

Use this section to briefly describe your idea and the project design. Make sure that your idea directly fits the topic; otherwise your proposal may be disqualified.

- Indicate in one or two sentences **in bold** the essence of your idea – the specific problem you are addressing, your proposed solution, how it will be delivered, and who are the primary beneficiaries.
- Explain why your idea is an unconventional or creative approach to the problem and how it improves upon the best existing alternatives.
- Describe the scientific and/or technical basis for your idea and why you expect it to succeed. For transition to scale applicants, identify the basis or proof of concept for the proposal.
- Describe the context and/or cultural relevance of your idea – explain how your idea is culturally informed and is designed to address the user's needs.
- Identify the level of funding requested and the specific project goals to be achieved with this level of funding within the two-year time frame for seed funds and up to four-year time frame for transition grants.

#### Section II. How will you execute and test your plan?

Use this section to briefly describe the project implementation and evaluation plan specific to the results to be achieved with the funding from the Saving Lives at birth partnership. The work proposed in your application must include a clear set of key experiments, methodologies or activities to be completed within the time period of the grant that test the described endpoint stated for the Saving Lives at Birth funding. If there are additional analyses to be completed through other funding and/or over a longer period of time in order to fully test your idea in a way that could provide sufficient evidence of successful outcomes that the project would be ready for application at scale in low- resource settings, describe those as well and identify the source(s) of funding to be used for the further project phases as well as a preliminary timeline for

achievement of those ends. Applications with vague descriptions, vague testing methodologies, or insufficient description of the role of the Saving Lives at Birth funding within the broader project scope will not be funded. In addition, also briefly describe your organization's capacity to perform the work the work proposed in the application.

- Describe the experimental plan, including any new technologies or tools to be developed.
- Describe the definition of success for this proposed project both overall and in the context of the Saving Lives at Birth funding (e.g., at the conclusion of this Saving Lives at Birth award, if selected and successful, what is the expected end result? What is the expected end result beyond the Saving Lives at Birth funding?).
- State the interim objectives (proof-of-principle milestones) to be achieved during the project.
- Identify impediments or critical decision points that could require a revision in the work plan or milestones.
- Provide a detailed schedule or timeline for the attainment of each milestone and/or goal.
- Describe how the work will be performed within the budget and in the time period allocated for either a seed or transition grant.
- Describe the essential data to be generated during this grant.
- Identify the next steps of the project if the experiments under this grant are successful.
- Describe the plan for measuring results.
- Describe your organizational and partner capacity.

*Section III. How does your solution demonstrate its potential to sustain health and development impacts?*

Briefly describe your project's potential for sustainability as defined as cost-recovery, sustained use, and sustainable impact. For seed grants, discuss how the proposed solution will demonstrate the potential to sustain health and development impacts at full scale, if successful. For transition grants, describe how the project will continue to have beneficial health and development impacts after the funding period. For revenue-generating projects, project the long-term expenses and revenue/income stream (noting any market assumptions for sources such as user fees, sales revenues, community contributions, etc.). If breakeven is not expected by the end of project support, the strategy for external donor or investor support between the end of the project and the breakeven point should be stated.

**Supporting Information (not included in page limit)**

Applicants are encouraged to submit the following as appropriate:

- *Brief* biographical descriptions of key project personnel
- Draft letter of intent from any existing resource or implementing partners (recommended)
- Letters of support from countries in which you propose to operate (recommended for transition to scale grants)

**Standard Forms** (no page limit)

The following three standard forms should be signed by the applicant and submitted as an electronic file:

- Application for Federal Assistance (SF-424)
- Cost Application Information (SF-424A)
- Assurances - Nonconstruction Programs (SF-424B)

A link to these forms can be found at [http://www.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/approved_standard_forms.jsp).

*The SF-424A, Cost Application Information, shall clearly show how funds will be used to support the activities proposed in the application's proposal. The cost application shall display unit costs (if applicable) and costs by year and shall include sub-cost applications for each component.*

To support the proposed costs applicants advancing beyond the innovation screen stage will be asked to provide detailed budget notes/narrative for all costs that explain how the costs were derived. This information should not be included until/unless asked for. At that time specific guidance will be provided regarding the budget narratives, however that guidance is expected to include:

- The breakdown of all costs associated with the program.
- The breakdown of all costs according to each partner organization involved in the program.
- The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
- The breakdown of any financial and in-kind contributions of all organizations involved in implementing this program.
- Potential contributions of non-USAID or private commercial donors to this program.
- Procurement plan for commodities, goods and services (if applicable).

The cost application should contain the following budget categories:

1. Salary and Wages: Direct salaries and wages should be proposed in accordance with the applicant's personnel policies;

2. Fringe Benefits: If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries;
3. Travel and Transportation: The application should indicate the number of trips, domestic, regional, and international, and the estimated costs. Specify the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per diem should be based on the Applicant's normal travel policies. Applicants should budget one team member to attend one meeting of the Saving Lives at Birth community **per year** (estimate of \$5000 per meeting for airfare, accommodation, registration and meals). This line item does not need to include the 2012 Development Exchange;
4. Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity);
5. Supplies: Supply items related to this activity (e.g., specimen collection, sample transport, administrative);
6. Contractual: Any goods and services being procured through a contract mechanism;
7. Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc. The narrative should provide a breakdown and support for all other direct costs;
8. Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information for USAID to determine the reasonableness of the rates (For example, a breakdown of labor bases and overhead pools, and the method of determining the rate). Applicant organizations in Canada, low-income countries, and middle-income countries, according to World Bank classification, should be aware that if funded by Grand Challenges Canada, indirect costs may not exceed 13 percent of allowable direct costs.

The program encourages prospective grantees to focus resources in project implementation rather than salaries, equipment and supplies.

The cost and cost application aspects of applications will be reviewed for cost realism and cost effectiveness in accordance with the evaluation criteria.

While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The following detailed information from the applicant is required:

The cost application should be for a period of years that correspond to whether you are planning a seed or transition grant and using the budget format shown in the SF-424A.

If the Applicant has established a consortium or another legal relationship among its partners, the cost application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicants including identification of the Applicant with which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

In all cases, funding levels will correspond to the scope and scale of innovations. Some innovations may require testing at various levels (local, regional, and across several regions) in the transition stage; funds will be allocated to reflect the scope of testing as well as the funds needed to build to scale. Similarly, some innovations may need to be introduced more gradually to several regions (especially in large countries with large populations) before being scaled-up nationally and internationally.

### **Cost Share**

There is no cost share requirement.

### **Detailed Budget and Budget Narrative (upon request)**

To support the proposed costs in the SF-424A, applicants will provide detailed budget narrative for all costs that explains how the costs were derived. Refer to the section above for more information on the narrative.

### **Past Performance (upon request)**

Please complete past performance information (form attached at Annex) for three (3) past performance references which describe any contracts, grants, or cooperative agreements which the applicant organization, as well as any substantive sub-grantee partners, has implemented involving similar or related programs over the past three years. Please include the following information: name and address of the organization for which the work was performed; name and current telephone number and email

address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date.

It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

Please note that the Partners reserve the right to obtain past performance information from other sources including those not named in this application.

The review team will review all applications and may engage the applicant for clarifications or further information as needed.

| <b>Materials to be Submitted by ALL</b>  | <b>Materials to be Submitted Upon Request</b>   |
|--|---|
| <ol style="list-style-type: none"> <li>1. Technical Application               <ul style="list-style-type: none"> <li>• Cover Sheet (not to exceed one page)</li> <li>• Body of Application (seed grants not to exceed three pages/transition grants not to exceed 9 pages)</li> </ul> </li> <li>2. Supporting Material (no page limit)               <ul style="list-style-type: none"> <li>• Brief biographical descriptions</li> <li>• Draft letters of intent from any existing resource or implementing partners (recommended)</li> <li>• Letters of support from countries in which you are operating (recommended for transition grants)</li> </ul> </li> <li>3. Standard Forms               <ul style="list-style-type: none"> <li>• Application for Federal Assistance (SF-424)</li> <li>• Cost Application Information (SF-424A)</li> <li>• Assurances – Nonconstruction Programs (SF-424B)</li> </ul> </li> </ol> | <ol style="list-style-type: none"> <li>1. Detailed budget and budget narrative (no page limit)</li> <li>2. Past performance references</li> </ol> |

## Evaluation Criteria

Seed and Transition applications will be evaluated independently. Applications will be evaluated on the basis of the following five criteria (as defined for both seed and transition grants). The first four criteria are of equal importance. The fifth criterion (pioneering innovation) is significantly more important than the other technical criteria.

The final award selection will be based on a combination of technical strength, cost, and pioneering innovation.

### For Seed Grants

#### 1. Innovation (5 points)

Demonstration that the proposed solution offers a creative approach to the problem outlined in the challenge and is clearly differentiated from existing approaches.

#### 2. Relevance and Significance (5 points)

Demonstration that the proposed solution is relevant to the problem outlined in the challenge and potentially transformative. Does the solution:

- Address a key roadblock or critical condition as described in the challenge.
- Apply to hard-to-reach, low-resource settings in low- and middle-income countries once implemented.
- Address gender dynamics where relevant.
- Have the potential to substantially and sustainably reduce stillborn, maternal and/or newborn deaths (e.g. low cost technology and/or approaches).
- Provide a clear and compelling description of the potential scale at which the innovation could be applied.

#### 3. Execution and Evaluation Plan and Organizational Capacity (5 points)

- Extent to which the proposed project and interim milestones are appropriate, feasible and technically sound within the budget and time allocated for either seed or transition funding.
- Extent to which the project has proposed clear, measurable and realistic indicators. Reviewers will examine the quality of the proposed indicators of the outcomes/results you expect to achieve and any other method(s) you propose to use to measure project success.
- Depth and breadth of talent and experience of key project personnel or partners, if applicable (e.g., relevant domain knowledge and experience, track record of professional success relevant to the proposal and its applicability to the program objective).
- Demonstration of support and/or engagement of local/national partners in project design, implementation, and evaluation.

#### **4. Sustainability (5 points)**

- Demonstration that the proposed solution, if successful, has the potential to sustain health and development impacts at full scale
  - *For revenue-generating projects*, a realistic timeframe and pathway to reach the point of revenue breakeven should be included.
  - *For projects that are not generating any income or revenue*, the proposal should provide a realistic strategy for sustaining the project's results after completion of program support from sources such as other donors, private foundations, and government agencies, etc.
- Extent to which the project demonstrates a specific and segmented understanding of the target population; *for products expected to be sold in the private market*, a clear articulation of the innovation's value proposition.

#### **5. Pioneering (15 points)**

Applications with highest potential to achieve sustained, groundbreaking impact and/or to become true game changers in the field.

### **For Transition Grants**

#### **1. Innovation (5 points)**

Demonstration that the proposed solution offers a creative approach to the problem outlined in the challenge and is clearly differentiated from existing approaches.

#### **2. Relevance and Significance (5 points)**

Demonstration that the proposed solution is relevant to the problem outlined in the challenge and potentially transformative. Does the solution:

- Have a demonstrable effect on health outcomes (pg. 12)
- Illustrate an integrated solution combining technological, service delivery and demand innovation (pg. 13)
- Address a key roadblock or critical condition as described in the challenge?
- Demonstrate the ability to be scaled up in hard-to-reach, low-resource settings in a low- and /or middle-income country?
- Have the potential to substantially and sustainably reduce stillborn, maternal and/or newborn deaths (eg. low cost technology and/or approaches)?
- Provide a clear and compelling description of the potential scale at which the innovation could be applied?

#### **3. Execution and Evaluation Plan and Organizational Capacity (5 points)**

- Extent to which the proposed project and interim milestones are

appropriate, feasible and technically sound within the budget and time allocated for either seed or transition funding.

- Extent to which the project has proposed clear, measurable and realistic indicators. Reviewers will examine the quality of the proposed indicators of the outcomes/results you expect to achieve and any other method(s) you propose to use to measure project success.
- Depth and breadth of talent and experience of key project personnel or partners, if applicable (e.g., relevant domain knowledge and experience, track record of professional success relevant to the proposal and its applicability to the program objective).
- Demonstration of support and/or engagement of local/national partners in project design, implementation, and evaluation.

#### **4. Sustainability (5 points)**

- Demonstration that the proposed solution, if successful, can continue to have beneficial health and development impacts after the funding period. To this end, transition grants are limited to integrated solutions (approaches that combine technological, service delivery, and demand domains in innovative ways).
  - *For revenue-generating projects*, a realistic timeframe and pathway to reach the point of revenue breakeven should be included.
  - *For projects that are not generating any income or revenue*, the proposal should provide a realistic strategy for sustaining the project's results after completion of program support from sources such as other donors, private foundations, and government agencies, etc.
- Extent to which the project demonstrates a specific and segmented understanding of the target population; *for products expected to be sold in the private market*, a clear articulation of the innovation's value proposition.

#### **5. Pioneering (15 points)**

- Applications with highest potential to achieve sustainable, groundbreaking impact and/or to become true game changers in the field.

#### **Non-scored Evaluation Factors for ALL Applications:**

While no points are assigned to the below factors, they are important and material to the award decision.

##### **(a) Past Performance**

Past Performance information obtained demonstrates successful past performance implementing previous work similar in scope.

##### **(b) Cost**

In the later stages of review, costs included in the proposed budget will be reviewed to ensure they are allowable, allocable, and reasonable. Cost effectiveness will be considered in relation to any proposed cost-share. While a cost-share is not required, it could contribute to the achievement of the results of this funding opportunity.

If requested, budget proposals will also be subject to cost realism analysis. The cost realism analysis will verify the applicant's understanding of the requirements, assess the degree to which the cost application reflects the approaches in the technical application, and assess the degree to which the costs included in the application accurately represent the programmatic requirements set forth in the application.

[Note: Applications that do not present realistic costs may risk not being considered for award.]

***All other factors being technically equal, the Saving Lives at Birth Partners reserve the right to ensure project and geographic diversity in applications selected for award.***

## **Review Process**

The review process will consist of three stages as outlined in the sections below:

1. **Stage One: Initial eligibility screen.** All applications are screened to ensure that they meet the eligibility criteria. Applications that are disqualified at this stage from further review include those that are not in compliance with the Eligibility Criteria or in the Application Instructions described in Section C.
2. **Stage Two: Innovation screen.** If a large number of applications are received, eligible applications will be screened on how innovative the project idea is and its potential for transformational impact. Innovation screeners will base their evaluation solely on the summary paragraph provided on the cover page. This screening process will utilize the criteria below as relevant for seed and transition grants:
  1. **Innovation**  
Demonstration that the proposed solution offers a creative approach to the problem outlined in the challenge and is clearly differentiated from existing approaches.
  2. **Relevance and Significance**  
Demonstration that the proposed solution is relevant to the problem outlined in the challenge and potentially transformative. Does the solution:
    - Address a key roadblock or critical condition as described in the challenge?
    - Apply to hard-to-reach, low-resource settings in low- and middle-income countries once implemented?

- Have the potential to substantially and sustainably reduce stillborn, maternal and/or newborn deaths (eg. low cost technology and/or approaches)?
- Provide a clear and compelling description of the potential scale at which the innovation could be applied?

**3. Stage Three: Technical Review.** This stage consists of a two-step review process.

**Step 1:** A panel of reviewers will review the remaining applications and select finalists based on all the evaluation criteria - . (1) Innovation; (2) Relevance and Significance; (3) Execution and Evaluation Plan and Organizational Capacity; (4) Sustainability; and (5) Pioneering.

**Step 2:** Applicants advancing to this stage will be invited to attend the Development Exchange event in Seattle, Washington.

Based on *all* evaluation criteria - (1) Innovation; (2) Relevance and Significance; (3) Execution and Evaluation Plan and Organizational Capacity; (4) Sustainability; and (5) Pioneering– and in-person interviews, reviewers will recommend applicants for awards. Reviewers will seek to select innovators across the three priority areas: science & technology, service delivery, and demand. Reviewers will ensure that a portion of the recommended applications are from low and middle income countries.

**Validation and final selection.** Before the announcement of the awards, an Executive Committee or Governing Board for each of the respective funding mechanisms will independently review and validate the panel recommendations to ensure consistency with applicable policies, procedures and practices of the respective funding organization, inclusive of past performance evaluation. The final decision regarding the awarding of grants is the responsibility of the respective funding organization.

**Development Exchange:** To take advantage of the presence of a variety of development actors together in one place, the Partners will host the Development Exchange in Seattle, Washington on July 12-14, 2012. Finalists will display their innovations/innovative ideas in an open marketplace. As part of this Exchange, finalists will have the opportunity to network with each other, with other development experts and innovators, and other potential funders. Finalists will also participate in a series of workshops tailored to the participants' needs such as business planning, fundraising and measurement and evaluation. The Partners will cover the cost for one representative from each finalist team to attend the Development Exchange event. Only one representative may attend the closed sessions of the Development Exchange. Some or all of the awards will be announced in a high-level award ceremony at

the end of the Development Exchange.

**Unsuccessful Projects:** Applicants with unsuccessful projects will receive notice that their project was not selected and may request feedback.

**Management of Conflict of Interest:** To identify and avert conflicts of interest among reviewers, reviewers will not be permitted to review applications from organizations which the reviewer has self-identified conflicts of interest.

## SECTION D: AWARD EXECUTION AND ADMINISTRATION

### Award and Administration Information

Successful applications may result in a grant or cooperative agreement following a recommendation for funding. Each grant will be administered independently by either Grand Challenges Canada or USAID using the pooled resources and will be subject to the reporting requirements and rules of the respective funding organization (see Eligibility Criteria under Section B above). Prior to award execution, the funding organization may solicit additional information necessary to execute the award.

#### Certifications and Representations

- All Certifications and Assurance information can be found in ADS–303.3.8(a), see “<http://www.usaid.gov/policy/ads/300/303.pdf>” for more information.

#### Reporting

While each funding organization's reporting rules may vary, funders will align reporting requirements as much as possible. Applicants should anticipate the following deliverables to demonstrate the project's progress and success:

- A detailed monitoring and evaluation plan, with expected timelines to completion
- Annual progress report detailing the technical and programmatic achievements
- A clear proof-of-principle demonstration described in the original proposal and documented as part of the final report, including detailed documentation of the technical work accomplished and success and lessons learned from the project.
- Dissemination of knowledge through publications in peer-reviewed literature, patent applications, etc.

#### Grantee Responsibilities

Grantees will be expected to:

- **Attend one designated meeting of the Saving Lives at Birth community per year.** These meetings may include the Development Exchange tied with future funding rounds and the annual Grand Challenges meetings hosted by the Bill & Melinda Gates Foundation,

Grand Challenges Canada, USAID, and UN Foundation. Applicants are expected to include funding in their budgets for one person to attend such meetings.

- Actively **communicate and collaborate** with partners and other grantees on challenges and progress against milestones; seek opportunities to learn from other efforts; and look toward building integrated solutions that collectively can have a transformational impact on maternal and neonatal health in these target populations.
- **Exhibit fiscal responsibility.**
- **Operate in accordance with the terms and conditions** of the award.

Grantees will likely be responsible for the following activities and documentation during the life of the program, in accordance with the rules of the funding organization (funders will align requirements as much as possible):

- Conducting ongoing assessment of progress and a final evaluation, and submitting periodic reports according to the requirements outlined in the award;
- Compliance with Saving Lives at Birth branding and marking requirements;
- Requesting approval for any changes in program description or budgets;
- Briefing Saving Lives at Birth Partners on project progress and outcomes;
- Cooperating with Saving Lives at Birth Partners to facilitate rigorous program evaluations; and
- Maintaining communication with key Saving Lives at Birth staff.

### **1. Grants awarded by the pooled resources administered by USAID:**

#### **DUNS and CCR**

Award nominees will need to obtain a Data Universal Number (DUNS) and be registered with the Central Contractor Registration (CCR) before award. This process can be slow; it is strongly encouraged that organizations begin this process early. A DUNS number is a unique identifier that verifies the existence of a business entity globally. DUNS numbers are assigned for each physical location of a business. The CCR is the primary registrant database for the U.S. Federal Government. More information about this process can be found here:

- Obtaining a DUNS Number: <http://fedgov.dnb.com/webform>
- Registering with CCR: <https://www.bpn.gov/ccr/>

#### **Authority to Obligate the Government**

The agreement Officer is the only individual who may legally commit the pooled resources to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written

authorization from the Agreement Officer.

### **Type of Award**

Seed grant winners will be awarded fixed obligation grants (FOGs) and transition grant winners will be awarded Cooperative Agreements with substantial involvement.

### **SUBSTANTIAL INVOLVEMENT:**

In accordance to ADS 303.3.11, USAID substantial involvement in awards is limited to cooperative agreements. See "<http://www.usaid.gov/policy/ads/300/303.pdf>" for additional information

### **Relevant Documentation**

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 226, 2 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for U.S. Nongovernmental Organizations.

These policies and federal regulations are available at the following web sites:

- ADS-303:  
<http://www.usaid.gov/policy/ads/300/303.doc>
- 22 CFR 226:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html)
- 22 CFR 228:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_10/22cfr228\\_10.html](http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr228_10.html)
- Applicable OMB Circulars  
<http://www.whitehouse.gov/omb/circulars/index.html>
- 48 CFR 31.2:  
<http://www.arnet.gov/far/>
- Standard Provisions for U.S. Nongovernmental Organizations:  
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard

Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at <http://www.usaid.gov/policy/ads/300/303mab.doc>.

Resulting awards to public international organizations will be administered in accordance with Chapter 308 of USAID's ADS (ADS-308), including the Standard Provisions set forth in ADS-308.5.15.

These documents are available for further information:

- ADS-308  
<http://www.usaid.gov/policy/ads/300/308.pdf>
- Survey on Ensuring Equal Opportunity for Applicants  
<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>
- SF-424 Cost application/Cost Application Documents  
[http://www.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/approved_standard_forms.jsp).

### **Financial Reporting Requirements**

Financial reporting requirements will be in accordance with 22 CFR 226.

See

"[http://edocket.access.gpo.gov/cfr\\_2010/aprqtr/pdf/22cfr226.52.pdf](http://edocket.access.gpo.gov/cfr_2010/aprqtr/pdf/22cfr226.52.pdf)"

for additional information.

### **Global Health Access**

Applicants acknowledge the partners' mutual goal of promoting (a) the prompt and broad dissemination of knowledge gained during the Project and (b) availability and accessibility of the intended product(s) at reasonable cost to people most in need within developing countries.

### **Pre-Award Survey**

The Agreement Officer (AO) may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program.

Applicants must have established financial management, monitoring and evaluation, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees will be subject to a responsibility determination (pre-award audit) issued by a warranted Agreements Officer (AO) in USAID.

### **Initial Environmental Examination (IEE)**

Section 117 of the Foreign Assistance Act of 1961, as amended, requires

that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The environmental compliance obligations of the applicant under these regulations and procedures are specified in the following paragraphs of this RFA.

An Initial Environmental Examination (IEE) has been approved for this Cooperative Agreement. The IEE covers activities expected to be implemented under this agreement. USAID may determine that a Negative Determination With Conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the applicant, in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the Recipient shall prepare an EMMP or M&M Plan describing how they will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID

In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

### **Authorized Geographic Code**

The authorized geographic code for sub-procurements of services under this award is 935. The authorized geographic code for procurement of commodities is 935. Any sub-procurement of goods outside of code 000 will be considered on a case-by-case basis.

### **Branding and Marking:**

#### **In accordance to ADS: 303.3.6.3(f) – Branding and Marking**

Marking and branding will be expected so applicants should budget accordingly. See <http://www.usaid.gov/policy/ads/300/303.pdf> for more information.

## **2. Grants awarded by Grand Challenges Canada:**

Grand Challenges Canada will conduct due diligence prior to awarding a grant, and will monitor research milestones and financial expenditures throughout the grant period.

### **Indirect Costs**

Grand Challenges Canada will provide a limited amount of indirect costs based on the nature of the applicant organization, to a maximum of 13 percent of allowable direct costs.

### **Global Access Policy**

Grantees of Grand Challenges Canada are expected to adhere to the Global Access Policy ([http://www.grandchallenges.ca/wp-content/uploads/globalaccess\\_policy\\_2010May03\\_EN.pdf](http://www.grandchallenges.ca/wp-content/uploads/globalaccess_policy_2010May03_EN.pdf)), which is grounded in the following three principles:

1. Breakthrough solutions to global challenges are made accessible to those in need, particularly in the developing world. Accessibility relates to both price and availability.
2. Knowledge gained through discovery is broadly, and as promptly as possible, distributed between related projects and to the global scientific community.
3. Commercialization of resulting outputs is encouraged, as long as the

first two principles are achieved.

**Ethics Policy**

Grantees of Grand Challenges Canada are expected to adhere to the Ethics Policy ([http://www.grandchallenges.ca/wp-content/uploads/ethics\\_policy\\_2010May03\\_EN.pdf](http://www.grandchallenges.ca/wp-content/uploads/ethics_policy_2010May03_EN.pdf)).