

# USAID Local Health System Sustainability Project

## REQUEST FOR APPLICATIONS (RFA) VIETNAM-YR3-001

Issuance Date: April 27, 2023

Dear Prospective Applicant,

Abt is soliciting organizations to apply for grant funds made available through the Local Health System Sustainability (LHSS) Project. Client: United States Agency for International Development (“USAID”). This document provides you with information about eligibility requirements and instructions for how to apply for these funds if your organization is eligible.

This Request for Application (RFA) includes a programmatic and activity description package which should be reviewed prior to your completion of all supporting documents outlined below. The anticipated outcome of this solicitation is a Fixed Amount Award, pending confirmation of the selected Applicant’s eligibility to receive an award and the selected Applicant’s meeting the technical and administrative qualifications necessary, as outlined herein. The anticipated terms and conditions of any resulting award are included in **Annex F Sample Fixed Amount Award**. If the Applicant is unable to comply or takes exception with any of these terms or conditions, it should make clear in its application the specific term or condition and exception to take.

Written questions concerning this RFA will be accepted by LHSS at:  
[LHSS\\_Vietnam\\_Procurement@abtassoc.com](mailto:LHSS_Vietnam_Procurement@abtassoc.com) through **05 May 2023**.

Final applications are due by **May 10, 2023, to LHSS\_Vietnam\_Procurement@abtassoc.com**

This solicitation does not constitute a commitment on LHSS’s behalf to award funding, nor does it commit Abt Associates/LHSS to pay for any costs incurred in the preparation or submission of an application. Abt Associates/LHSS reserves the right to reject any or all applications, if such, action is considered to be in the best interest of the company/project, without assigning any reasoning. If awarded, this grant will be administered and implemented in accordance with USAID regulations and LHSS’s approved Grants Manual.

Neither LHSS nor Abt Associates employees may ask for, and the Applicant is prohibited from offering, any money, fee, commission, credit, gift, gratuity, thing of value, or compensation to obtain or reward improper favorable treatment regarding this or any solicitation. Any improper request from a program employee should be reported to LHSS.

The RFA is composed of the following:

- Section I: Program Description
- Section II: Award Information
- Section III: Period of Performance
- Section IV: Application and Submission Information
- Section V: Application Evaluation

The following Annexes are also included with this RFA:

- Annex A: Application Template
- Annex B: Detailed Budget Template
- Annex C: Implementation Plan
- Annex D: Required Certifications and Assurances
- Annex E: Applicant Self-Assessment Form: For Pre-Award Responsibility Determination
- Annex F: Sample Fixed Amount Award

# USAID Local Health System Sustainability Project

## SECTION I. PROGRAM DESCRIPTION

### A. Objective(s)

The objectives of this grant will feed into the Local Health System Sustainability (LHSS) activity's Objective 1: Support the Government of Vietnam to strengthen public financial management systems for public health and achieve greater efficiencies in social health insurance (SHI).

The specific objectives of this grant are as follows:

1. Using existing Machine Learning frameworks, implement an AI module for image processing, to support the Optical Character Recognition (OCR) of official (signed and stamped) documents, including health services claims that are scanned and imported to the social health insurance (SHI) claim review system.
2. Integrate the OCR module into the SHI claim review system, and develop functions that focus on the algorithm for matching the scanned document's extracted data with its corresponding records already on the system.
3. Provide training for 63 provincial social security agencies on the proficient use of the new OCR functions.

### B. Background

Abt Associates is a mission-driven, global leader in research and program implementation in the fields of health, social and environmental policy, and international development. Known for its rigorous approach to solving complex challenges, Abt Associates was ranked as one of the top 20 global research firms in 2012 and also named one of the top 40 international development innovators. The company has multiple offices in the U.S. and program offices in nearly 40 countries.

Through Abt Associates, the 4-year USAID-funded Local Health System Sustainability (LHSS) provides technical assistance in health systems strengthening in Vietnam to sustainably manage holistic human immunodeficiency virus (HIV) and tuberculosis (TB) programs that will drive the achievement of the country's commitment to end HIV and TB by 2030. The activity will also work with the Government of Vietnam to increase domestic financing for health and strengthen the sustainability of domestic financing mechanisms for Vietnam's greater financial, administrative, and technical ownership of its HIV and TB response.

USAID in Vietnam has played a fundamental role in the GVN's transition to greater financial, administrative, and technical ownership of its HIV and TB response. Efforts are needed to reinforce mechanisms that ensure accountable, transparent, and efficient use of public funds. For example, Vietnam's SHI scheme is devising ways to control costs for eligible services provided at health facilities, particularly at the hospital level. The MOH and Vietnam Social Security (VSS) plan to reform the provider payment system including the adoption of a diagnosis related group (DRG) payment method. This requires developing and introducing an appropriate management and monitoring system to guide health facilities in implementation and to allow VSS to monitor its financial claims. Currently, during the SHI claim review process, there are many scanned documents that need to be uploaded to the SHI claim review system for better review and comparison. These documents specifically include:

- Contracts between health facilities and health insurance agencies, health facilities' copies of operation license, and stamped hospital classification decision of health facilities. Medical claim review staff need to compare information in such documents with declared information in the SHI claim review system.
- Signed and stamped versions of different reporting and health services claim forms (C79, 19A, 20A, 21A). Medical claim reviewing staff need to review these forms and compare all information including the quantity of services, medical consumables, drugs, etc corresponding to each file to see if these are in accordance with the forms in the claim review system.

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- Files requesting direct payment and reimbursement between insured patients and health insurance agencies (invoices, vouchers, health insurance cards, etc.)

Manual review for such documents is very time-consuming and prone to errors, especially when it comes to C79 forms applied to each visit. As the amount of data increases, manual review will waste significant time and resources.

Hence, extracting scanned documents' content into machine-readable data for programmatic activities (e.g., searchable, comparable, etc.) is imperative. . Technically, the best solution could be to use a combination of image processing and OCR. OCR is a technology to read and interpret texts and figures from scanned files. OCR is especially able to handle different kinds of documents such as invoices, passports, name cards, files, etc. Hence, the application of OCR to automatically recognize information in scanned documents will save time, effort, and increase accuracy in health insurance claim review.

In Vietnam, OCR technology is currently applied in some sectors such as to automatically identify vehicle plate numbers in transport, to read signed documents and identity card information for verification of eKYC (Electronic Know Your Customer) identities in banking, or to read online invoices in taxation. The effectiveness of OCR technology has been widely reported in many organizations and agencies in Vietnam. Given this context, OCR application in the social health insurance industry could be indispensable and in line with technology application trend in Vietnam and all over the world. If successfully implemented, OCR will bring immense benefits to the health insurance sector with regard to health claim review, specifically:

- Increase the automation rate in the first request for health insurance examination and treatment at health facilities;
- Support medical claim review staff in automatic matching of forms;
- Swiftly handle requests for direct payments and quicken administrative procedures.

## C. Activity Description

- Using existing Machine Learning frameworks, implement an AI module for image processing, to support the Optical Character Recognition (OCR) of official (signed and stamped) documents, including health services claims that are scanned and imported to the social health insurance (SHI) claim review system.**

The Grantee will collaborate with LHSS and the VSS to develop a detailed design and implementation plan to integrate an intelligent document processing system that will use OCR to extract information from signed and stamped documents that are scanned and imported to the SHI claim review system. As the documents to be recognized are written in numerous complex forms, the grantee will be responsible for recruiting and engaging with AI experts who have experience with image processing, OCR, and data extraction from a specific document.

The activities to be implemented by the Grantee include but are not limited to:

- Review the current SHI claim review process and analyze the list of document types:

#	Name of document type	Link example
1	Practice registration	<a href="#">temp1_dang-ky-hanh-nghe.pdf</a>
2	Approved technical list	<a href="#">temp1_Danh mục kỹ thuật phê duyệt.pdf</a>
3	Decision approving the	<a href="#">temp2_quyet dinh phe duyet KQLCNT_VTYT.pdf</a>
4	results of selection of	<a href="#">temp2_quyet dinh phe duyet KQLCNT_thuoc 2.pdf</a>
5	contractors for drugs and medical supplies	<a href="#">temp2_quyet dinh phe duyet KQLCNT_thuoc.pdf</a>
6	Health Insurance payment	<a href="#">temp3_M19.pdf</a>
7	report.	<a href="#">temp3_M20.pdf</a>

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8	<i>These documents contain patient information, so we deleted sensitive information.</i>	<a href="#">temp3_M21.pdf</a>
9		<a href="#">temp3_M79.pdf</a>
10	Regimens and technical procedure instructions	<a href="#">temp4_phac_do_dieu_tri.pdf</a>
11		<a href="#">temp4_quy_trinh_ky_thuat.pdf</a>
12	Instructions for the use of the drug. <i>These papers are usually packaged in medicine boxes.</i>	<a href="#">An example</a>

## Notes:

- Documents 1 to 9 can change the content according to the actual situation, for example, adding some columns.
- Documents 10 & 11: the module extracts the medicine, technical services, and medical supplies from selected regimens (by the heading number or page number) and maps them with the corresponding data in the VSS database.
- Document 12: the module extracts the product registration number, ingredient, and how to use from these documents.

All data and forms that include personal identifiable information will have to follow national data security regulations, Health insurance Law, and VSS requirements. These data security best practices will be shared with the grantee as a part of capacity strengthening during the implementation of this activity.

- Collect all the forms scanned on the SHI claim review system as a basis to build a dataset for training the OCR model.
  - In collaboration with LHSS and VSS, recruit AI experts to serve as quality assurance reviewers for this activity.
  - Develop the OCR module:
    - Define appropriate machine learning model(s) to be used for this application
    - For each type of document, the Grantee will determine the necessary information to be extracted from scans and build a dataset for training the OCR model.
    - After the dataset is in place, engage the AI experts to determine the appropriate OCR functions for each type of document and adjust the parameters to achieve the best results.
  - Test the OCR module:
    - AI experts create the model with different functions for running tests and the Grantee will cooperate to run tests on these functions. Based on the results, the Grantee will compare the automatically recognized data with scans, evaluate the accuracy of each function, and then select the best ones.
    - After OCR functions are tailored to each type of each document, the system will run based on data from all existing scans and save the information on the SHI claim review system.
2. **Integrate the OCR module into the SHI claim review system, and develop functions that focus on the algorithm for matching the scanned document's extracted data with its corresponding records already in the system.**

In collaboration with VSS, LHSS, and AI experts, the Grantee will integrate the OCR module into the SHI claim review system and develop functions that focus on the algorithm for matching the scanned document's extracted data with its corresponding records already on the system, for example:

- Match information in decisions of hospital establishment with information in the list of health facilities.

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- Match the level of hospitals in decisions of hospital classification with the actual level on the system.
  - Match the data on signed and stamped C79 forms with the data requested on the SHI claim review system.
3. **Provide training for 63 Provincial Social Security (PSS) agencies on proficient use of the new OCR functions**

The Grantee will coordinate with VSS to provide training for medical claim review staff of 63 PSS agencies to use the OCR model. The training may focus on the following topics:

- A good knowledge of automatically recognized documents
- Proficient use of the alert and comparison functions of the software to identify incorrect information.

The Grantee is also responsible for giving post-tests to assess learners' understanding of the module and its application.

## D. Expected Outputs and Outcomes

### Outputs

1. AI module implemented to support OCR in the SHI claim review system
2. OCR module well-integrated into the SHI claim review system and trained to automatically detect discrepancies between scanned documents and information in the SHI system
3. OCR functions training delivered to PSS agencies in 63 provinces
4. 100% of PSS medical claim review staff is able to effectively operate the OCR model and its tools

### Outcomes

1. Modernized application of AI-based techniques in public financial management system, resulting in high level of automation, less manual intervention, and increased productivity
2. Improved data management process, prevention of inaccuracies, errors and data loss
3. Increased transparency and efficiency in SHI claim review
4. Enhanced capacity among PSS agencies in 63 provinces about OCR application in SHI claim review

## E. Monitoring

The following indicators must be reported to LHSS Vietnam via the monthly grant activity reports:

Indicator	Disaggregation	Frequency
Number of document types that the OCR module effectively processed	- Document type	Monthly, as feasible
Number of documents that the OCR module effectively processed	- Document type	Monthly, as feasible
Number of discrepancies between scanned documents and information updated to SHI claim review system found by the model	- N/A	Monthly, as feasible
Number of PSS agencies trained on using the OCR functions.	- Geographical location	Once

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Indicator	Disaggregation	Frequency
Number of PSS staff attending the training in OCR functions.	- Sex - Geographical location	Once
Number of PSS staff reported having increased knowledge from the training organized	- Sex - Geographical location	Once
Number of grantee staff who receive on-the-job training and mentorship from VSS or recruited AI experts	- Sex	Once

All data must be disaggregated and submitted in excel format on a monthly basis, including:

- Sex
- Geographical location

## F. Deliverables

#	Milestone	Deliverable	Completion date
1	Develop inception plan and schedule of activities approved by LHSS Vietnam	Inception plan with objectives, activities, monitoring indicators, schedule, methodology, applicable documents and forms	2 weeks after start of the award
2	An AI-based OCR module (based on existing models) with a standard set of parameters for automatic character recognition in documents scanned to the online SHI review system is operational and effective. This module can be ready integrated into the online SHI review system.	The technical document (blueprint) describes in detail how to build the OCR module—including how existing OCR models/frameworks were incorporated—and how to adjust parameters in case of new SHI forms.  The source code of AI OCR module.	5 months after the start of the award
3	OCR module is integrated into the online SHI review system including functionality to automatically detect discrepancies between scanned documents and information in the SHI claim review system	The technical document (blueprint) describes in detail how to build the functions.  The complete source code of AI OCR module.  MOU to transfer the source code to VSS and LHSS	5 months after the start of the award
4	OCR module training delivered to PSS agencies in 63 provinces	Training materials including but not limited to user guide, schedules, handouts, tests, test results and reports. These can be in written, audiovisual and digital form.	6 months after the start of the award
5	Final report of the activities carried out	Final report including but not limited to the following sections: <ul style="list-style-type: none"> <li>• Implementation</li> <li>• Discrepancies between planned and actual implementation</li> <li>• Results</li> </ul>	7 months after the start of the award

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	<ul style="list-style-type: none"><li>• Lessons learned</li><li>• Sustainability and transition plan (e.g recommendations for follow-up and plans to transition the OCR module to VSS oversight)</li><li>• Capacity strengthening self-assessment (e.g., how has grantee's capacity been strengthened as a result of the grant).</li></ul> <p>Report should include attendance lists as annexes.</p>	
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## G. Authority/Governing Regulations

Abt Associates Inc. and its partners are implementing the United States Agency for International Development (USAID)/Local Health System Sustainability project under IDIQ Contract No. 7200AA18D00023, Task Order No. 7200AA18D00023/7200AA19F00014. The LHSS project commenced on August 29, 2019 and is scheduled to end on August 28, 2024. LHSS works to support the achievement of USAID health systems strengthening (HSS) priorities as a means to achieve universal health coverage (UHC). USAID's focus on health systems strengthening is to support partner countries on their journey to self-reliance and prosperity to meet their commitments for improved health and well-being of their population, by strengthening health systems performance and supporting sustained health impact.



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## SECTION II. AWARD INFORMATION

LHSS anticipates awarding a Fixed Amount Award (“FAA” or “Grant”) as a result of this Request for Application. Payments will be based on the **Grant Agreement’s Deliverable and Milestone Payment Schedule**, as agreed to during negotiations between LHSS and the apparently successful Applicant before full execution of the grant and pending final approval by USAID.

The accomplishment of each milestone will be assessed based on review of the deliverables delineated for that milestone by the Grants Manager and appropriate technical staff. If a deliverable does not meet the minimum standard set forth in the grant agreement, the Grantee may be asked to revise and resubmit until such time as it conforms to the standard.

The Fixed Amount Award will incorporate a defined deliverable and milestone payments schedule which includes due dates for each deliverable and milestone. The deliverable and milestone payments schedule will be defined in collaboration with LHSS prior to signature of the grant agreement. To receive payment for deliverables, the Grantee will be required to submit the deliverable and the technical team will need to review and accept the deliverable. An example of a deliverable and payment schedule is provided in **Annex F**.

## SECTION III. PERIOD OF PERFORMANCE

The Period of Performance for this grant will begin after the grant is approved by USAID and the grant agreement is fully executed and dually signed by both the Grantee and Abt Associates. The end date for performance will be no later than **September 30, 2024**.

## SECTION IV. APPLICATION AND SUBMISSION INFORMATION

### A. INSTRUCTIONS TO APPLICANT, INCLUDING ELIGIBILITY REQUIREMENTS

The Applicant must propose an implementation approach for the activity described above, introducing innovations that are appropriate to their organizational strengths and activity context.

#### Eligibility requirements:

- Be legally operating in **Vietnam** (registration documents required);
- Provide evidence of financial accountability to the extent possible and as appropriate to the grant type being awarded, maintain strict and detailed records of all expenses, and have designated individual(s) responsible for financial management;
- Possess sound managerial, technical, and institutional capacities to achieve the results of the grants program;
- Possess a system of internal controls that safeguards assets and protects against fraud, waste, and conflicts of interest; and
- Be in good standing with all civil and fiscal authorities in the countries they operate in.

### B. APPLICANT SELF-ASSESSMENT

The Applicant selected for this award is subject to a pre-award risk assessment conducted by LHSS and the Applicant, to ascertain whether the organization has the minimum management capabilities required to manage and implement the Fixed Amount Award. The Applicant self-assessment is the first step in the pre-award risk assessment process. The Applicant Self-Assessment Form is contained in **Annex E**.

### C. GRANT APPLICATION

The template to be utilized when developing the application is provided in **Annex A**. The Applicant shall present their technical application in the format provided and shall follow the instructions and guidelines listed in these annexes for both technical and budget submissions.



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Applications must detail the activities and results that the proposed grant activity shall fulfill, using the template provided (**Annex A**) to guide what content must be included and ***be responsive to Section I above.***

## D. APPLICATION AND SUBMISSION INFORMATION

Applications shall be submitted in English or Vietnamese and may not be more than 16 pages excluding annexes or pages of certifications.

The application, including supporting documentation, should be submitted electronically to the email address below. Emails should not be larger than 10MB. The application can be submitted in multiple emails, however, please clearly identify that you are responding to RFA# **VIETNAM-YR3-001**. The application should be submitted by **11:59PM local time on May 10, 2023**.

Email address: [LHSS\\_Vietnam\\_Procurement@abtassoc.com](mailto:LHSS_Vietnam_Procurement@abtassoc.com)

In addition to the application, Applicants should submit the following to LHSS:

- Unique Entity Identifier or evidence that registration process to receive Unique Entity Identifier has begun.
- Signed and dated Required Certifications (**Annex D**)
- A copy of the Applicant's valid legal registration
- A copy of their latest audited financial statements
- CVs for Personnel
- A copy of Tax Verification Certificate.
- Applicant Self-Assessment Form (**Annex E**)

Please submit all questions concerning this solicitation to LHSS, via email to: [LHSS\\_Vietnam\\_Procurement@abtassoc.com](mailto:LHSS_Vietnam_Procurement@abtassoc.com), by **May 05, 2023**.

## SECTION V. APPLICATION EVALUATION

The Grants Evaluation Committee (GEC) will formally evaluate and rank the application independently and uniformly in writing, using a standard application evaluation form. Scores will be based on the criteria listed below:

Criteria	Maximum Points (100 total)
1. Strategic Fit	10 points
2. Technical Approach	50 points
3. Organizational Capabilities	25 points
4. Cost Effectiveness	10 points
5. Gender Equity and Social Inclusion Considerations	5 points

*\*Applicants must receive an average score of 70 points or higher to proceed in the grant approval process*

### STRATEGIC FIT (10 POINTS)

Strategic fit criteria include:

- Contribution toward the project overall objectives.
- Sustainability of results (organization demonstrates a plan to ensure that the OCR module is used and sustained by VSS and Provincial Social Security agencies).
- Anticipated benefits to the beneficiaries.

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## **TECHNICAL APPROACH (50 POINTS)**

Technical approach criteria include:

- A clearly defined problem statement (proposed services that demonstrate an understanding of the challenge and program description needs).
- Goals are clearly outlined.
- The technical approach demonstrates clear understanding of machine learning frameworks and OCR models.
- There is a practical and appropriate technical approach that clearly links the defined problem to proposed solutions.
- The technical approach is cost-effective, transformative, and sustainable.
- Proposed plan is realistic and feasible.
- Potential obstacles are identified, and solutions are sufficiently addressed.
- A grant sustainability plan will feature actions that the Grantee will take to ensure lasting results of the grant-funded interventions.

## **ORGANIZATIONAL CAPABILITIES (25 POINTS)**

Organizational capabilities criteria include:

- Substantial past performance on similar projects.
- Demonstrated experience developing OCR models.
- Soundness of accounting and procurement practices.
- Capacity to adhere to USAID financial guidelines.

## **COST EFFECTIVENESS (10 POINTS)**

Costs will be evaluated in terms of their feasibility, cost realism, reasonableness, completeness, allowability, and cost effectiveness for undertaking interventions outlined in the application. The cost selection criteria, expressed in the form of questions below, will allow the project to evaluate the Applicant's cost application.

- Is the proposed budget reasonable and cost effective?
- Does the application minimize administrative costs for managing the grant in order to maximize the funds available for field-based interventions?

## **GENDER EQUALITY AND SOCIAL INCLUSION CONSIDERATIONS (5 POINTS)**

Considerations include:

- Identify opportunities for participation of women or minority groups such as in training, selection of AI experts, or the grantee's team.

The project may send a representative to conduct a site visit to confirm or add to the information in the grant application as needed.

**NOTE:** The LHSS project will evaluate the application primarily by considering the technical and cost quality prior to award. If the application is successful in the technical and cost evaluation process it will be submitted to LHSS's TOCOR for approval of an award following a pre-award responsibility determination. The project will notify the Applicant of the results of the grant evaluation process in writing and will offer them an opportunity to contact the project's Grants Manager within 10 days to respond to or ask questions. All grant awards are contingent on adequate results of the pre-award responsibility determination and final approval by USAID.

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## ANNEX A: APPLICATION TEMPLATE

This application template is in response to RFA# VIETNAM-YR3-001. The template provided below is meant to provide the Grantee with instructions on how to organize content, and what content to cover in the application. However, please be sure the technical content is responsive to the technical requirements described in **Section I of the Request for Application**.

### Section I. Basic Information (Maximum 1 page)

1. Business name:
2. Date business was founded and registration status:
3. Contact information:

Name of business representative and title:	
Official address:	Office Phone:
Mobile:	Fax:
Email:	Website:
Unique Entity Identifier:	

4. Briefly describe the organization and its purpose:

### Section II. Technical Approach /Program Description (Maximum 10 pages)

1. Title of the proposed grant activity
2. Please explain a detailed technical approach in developing and testing the OCR module
3. Please explain a detailed technical approach for integrating the OCR module into the SHI claim review system
4. Please detail the implementation approach for training the 63 provisional Social Security agencies on proficient use of the OCR function
5. Please include potential challenges and how you will mitigate them for the activities listed above.

### Section III. Management Plan (Maximum 1 page)

1. Please briefly describe the technical expertise and name the anticipated technical staff to contribute and work on the proposed activity.
2. Please also describe your recruitment plan for engaging AI experts.

### Section IV. Monitoring and Evaluation Plan (Maximum 2 pages)

Please describe the key results the grantee expects to achieve. Explain how you will track progress, measure, and report the results over the life of the grant. Please include numerical targets for the indicator table from Section E.

### Section V. Experience and Capacity (Maximum 2 pages)

1. Describe your experience in implementing similar activities, and briefly describe the results obtained.
2. Describe your capacity to implement the objectives put forth in this RFA.

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- Describe your own capacity strengthening needs (i.e., in what areas might you need support), how those needs align with the proposed activities, and how addressing those needs will lead to sustained outcomes (either direct or indirect).

## Section VI. Sustainability Plan (Included in 10 page technical)

The sustainability plan may be presented in a separate table and will be evaluated as part of a grant application's technical approach and included in the 10-page maximum submission. The sustainability plan should feature actions that the Grantee will take to ensure lasting results of the grant-funded efforts and any capacity strengthening support they received from LHSS. A clear definition of such actions will improve the score of the application.

## Section VII. Cost

- Budget:** Please provide a complete separate excel document with the budget details required, including unit and unit costs. Please see **Annex B** for a detailed budget template.
- Please provide a proposed milestone/deliverable payment schedule** in line with the Proposed Grant Agreement Deliverable and Milestone Payment Schedule included in the program description. *Note: This proposed table will be negotiated and agreed upon with Abt Associates and LHSS.*

#	Milestone	Deliverable	Completion date	Amount (%)
1	Develop inception plan and schedule of activities approved by LHSS Vietnam	Inception plan with objectives, activities, monitoring indicators, schedule, methodology, applicable documents and forms		
2	An AI-based OCR module (based on existing models) with a standard set of parameters for automatic character recognition in documents scanned to the online SHI review system is operational and effective. This module can be ready integrated into the online SHI review system.	A technical document (blueprint) that describes in detail how to build the OCR module—including how existing OCR models/frameworks were incorporated—and how to adjust parameters in case of new SHI forms.  The source code of AI OCR module.		
3	OCR module is integrated into the online SHI review system including functionality to automatically detect discrepancies between scanned documents and information in the SHI claim review system	A technical document (blueprint) that describes in detail how to build the functions.  The complete source code of AI OCR module.  MOU to transfer the source code to VSS and LHSS		
4	OCR module training delivered to PSS agencies in 63 provinces	Training materials including but not limited to user guide, schedules, handouts, tests, test results and reports. These can be in written, audiovisual and digital form.		

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5	Final report of the activities carried out	<p>Final report including but not limited to the following sections:</p> <ul style="list-style-type: none"> <li>• Implementation</li> <li>• Discrepancies between planned and actual implementation</li> <li>• Results</li> <li>• Lessons learned</li> <li>• Sustainability and transition plan (e.g recommendations for follow-up and plans to transition the OCR module to VSS oversight)</li> <li>• Capacity strengthening self-assessment (e.g., how has grantee’s capacity been strengthened as a result of the grant).</li> </ul> <p>Report should include attendance lists as annexes.</p>		
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By affixing my signature below, I certify that to the best of my knowledge, the information provided in this application is accurate and correct:

Submitted by (name and title): \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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## ANNEX B: DETAILED BUDGET TEMPLATE

**Applicants must use the provided budget format that includes a detailed budget.** The Applicant must include a budget narrative that provides in detail the rationale for proposed costs. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g., organization’s policy, payroll document, vendor quotes, etc.)

**All grant activity costs must be in local currency and within the normal operating practices of the Applicant and in accordance with its written policies and procedures. The Applicant must propose costs that it believes are realistic and reasonable for the work in accordance with the Applicant’s technical approach. For an Applicant without an audited indirect cost rate, the budget may include direct costs that will be incurred by the Applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.**

### **Ineligible Expenses**

LHSS grant funding may not be utilized for the following:

- Construction or infrastructure activities of any kind.
- Ceremonies, parties, celebrations, or “representation” expenses.
- Purchases of restricted goods, such as: restricted agricultural commodities, motor vehicles including motorcycles, pharmaceuticals, medical equipment, contraceptive products, used equipment; without the previous approval of LHSS, or prohibited goods under USAID regulations, including but not limited to the following: abortion equipment and services, luxury goods, etc.
- Alcoholic beverages.
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/nationality regulations
- Any purchase or activity which has already been completed before the start of the grant.
- Purchases or activities unnecessary to accomplish grant purposes as determined by LHSS.
- Prior obligations of and/or, debts, fines, and penalties imposed on the Grantee.
- Creation of endowments.





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## ANNEX D: REQUIRED CERTIFICATIONS AND ASSURANCES

Please complete the required certifications available here:

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

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## ANNEX E: APPLICANT SELF-ASSESSMENT FORM

Accepting a grant from LHSS creates a legal duty for the Grantee to use the funds according to the Grant Agreement and to United States federal regulations. Before awarding a grant, LHSS must assess the adequacy of the financial and accounting systems of a prospective Grantee to ensure accountability. To complete this form, answer each question as completely as possible, using extra pages if necessary.

### Part A-D: to be completed by the Applicant

<b>Legal Name of Organization:</b>	
<b>Address:</b>	
<b>Telephone Number(s):</b>	
<b>Website:</b>	
<b>Name and title of individual completing this checklist:</b>	

### A. Organizational Management

1. Type of organization	<input type="checkbox"/> Non-Governmental Organization <input type="checkbox"/> Civil Society Organization <input type="checkbox"/> Private Business <input type="checkbox"/> University/Academia <input type="checkbox"/> Foundation/Charitable <input type="checkbox"/> Government <input type="checkbox"/> Other (Please specify)
2. Is your organization affiliated with any other organization (governmental, quasi-governmental, public or private sector)?  If yes, please specify affiliation	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Can you provide copy of articles of incorporation or other documentation which substantiates the organization's legal registration?  If so, please state date of incorporation or legal registration:	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Organization ownership	<input type="checkbox"/> Single Owner <input type="checkbox"/> Family Company <input type="checkbox"/> Shareholder or investor-owned <input type="checkbox"/> Non-profit
5. List of organization's owners including full names, titles, and contact information. You may attach an organizational chart with this information.	
6. Does the organization have a Board of Directors? If so, what type of board does your organization have? If not, leave blank.	<input type="checkbox"/> Board of Trustees <input type="checkbox"/> Executive Leadership Board <input type="checkbox"/> Other, please describe:
7. Is your organization facing any legal action?	<input type="checkbox"/> Yes <input type="checkbox"/> No

# USAID Local Health System Sustainability Project

## B. Organizational Capacity

1. List management and staff resources, including full names, titles, and contract information, who will contribute substantially to the Fixed Amount Award activity.	
2. Do you have systems in place for HR, accounting, purchasing, production, sales, and cash management?  If yes, please provide detail and all applicable manuals and policies.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the organization have by-laws or constitution? If yes, please provide.	<input type="checkbox"/> Yes <input type="checkbox"/> No

## C. Financial Management

1. How often does your organization prepare financial reports?	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> All of the above <input type="checkbox"/> Other, please describe:
2. Does your organization have loans, credit, or shares outstanding?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does your organization currently receive, or has it received in the past, USAID or other donor/grant assistance?	<input type="checkbox"/> Yes (complete table below) <input type="checkbox"/> No

Does your organization currently receive, or has it received in the past, USAID or other donor/grant assistance?

The below table is to list any **USAID** funds that you are currently receiving or have received in the past.

Funding Organization	Funding Type (grant, contract)	Value (approximate)	Dates (period of duration)	Contact

If your organization has never received USAID donor/grant assistance, please indicate here:

My organization has never received USAID Funds.

The below table is to list **any other** funds you have received as an organization.

Funding Organization	Funding Type (grant, contract)	Value (approximate)	Dates (period of duration)	Contact

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## D. Reference check

Please provide 3 references, with contact number/email address, that your organization has worked with over the last 3 years (including partners and funders/donor organizations).

- 1.
- 2.
- 3.

# USAID Local Health System Sustainability Project

## ANNEX F: SAMPLE FIXED AMOUNT AWARD

*The Local Health System Sustainability Project (LHSS) under the USAID Integrated Health Systems IDIQ*

Grant#[XXXXX]

### Fixed Amount Award

[Insert Name of Grantee]

[Insert Grantee Address]

[Insert Grantee Address]

[Insert Date]

**Subject: Fixed Amount Award (FAA) No. [Insert grant agreement number based on the project's established numbering convention]**

Dear [Mr./Ms.] [Insert name of authorized signatory for grantee]:

In response to your request for assistance dated [Insert Date], Abt Associates is pleased to award to [Insert Name of Grantee] (herein after referred to as "Grantee") this Fixed Amount Award in the sum of [Insert total amount of grant in currency that payments will be made in which is normally the local currency] ([Write out the total grant amount in words]) in support of your program as described in Attachment B – Program Description under the USAID-funded LHSS Task Order's [xxxx] workplan in [country] (IDIQ #7200AA18D00023, TO#7200AA19F00014) implemented by Abt Associates. Abt Associates will make payments under this grant in accordance with the Deliverable and Milestone Payment Schedule in Attachment- C.

By signing this Grant Agreement, the Grantee agrees that:

1. The Grantee will comply with the terms and conditions as set forth in the attachments listed following the signature below, which are incorporated as part of the Grant Agreement.
2. Grantee will maintain records of transactions related to the Grant Agreement (including reports and supporting documentation for deliverables) for at least three years after payment of the final milestone. After the end of the Grant Agreement, USAID and Abt Associates retain the right, at their discretion, to examine all or a sample of the Grantee's records or transactions related to this Grant Agreement where concerns of implementation irregularities arise.
3. Abt is not liable for reimbursing the Grantee for any amount in excess of the Grant Agreement amount, or incurred outside of the Grant period, as provided in the Schedule.
4. Unless otherwise provided in the Schedule, title to any equipment purchased to accomplish any milestone under this Grant Agreement vests in the Grantee upon acquisition, with the condition that the Grantee must use the equipment for the Grant as long as it is needed for such.
5. The Grantee will follow the LHSS approved Branding and Marking Plan which will be provided to the Grantee by the Grants Manager [NOTE: not all Grantees require this, since they may not be producing anything that needs a brand/mark. We will include proper language in the agreement to reflect the circumstances of the specific grant].

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6. Grantee will obtain Abt Associates' prior written approval for any changes to: 1) the activities being supported by this Grant; 2) the fixed amount of this Grant; 3) the milestones; or 4) the Grant Agreement completion date.
7. Abt Associates will conduct monitoring of the grant program, including site visits, as appropriate.
8. When proposed grant activities have been identified as medium or high-risk, Recipient must prepare and submit an environmental mitigation and monitoring plan (EMMP) using the template provided to ensure that the potential adverse impacts implicit in the activities do not occur.
9. Grantee must submit the Final Voucher for payment for the final milestone(s) within 30 calendar days from the Grant Agreement's end date, unless Abt Associates provides written approval extending the period for Final Voucher submission, but in no case shall the period exceed 60 calendar days. With the submission of the Final Voucher, the Grantee must certify that the Grant is completed, and the Grantee will make no further claim against Abt Associates after payment of the Final Voucher.
10. This Grant Agreement may be terminated by either party at any time, in whole or in part, 30 calendar days after receipt of written notification by the other party. If Abt Associates terminates this Grant Agreement, the Grantee may submit a claim within 30 calendar days of such termination for any costs incurred in performance of any unpaid or incomplete milestones unless Abt Associates agrees in writing to extend the period for claim submission, but in no case shall the period exceed 90 calendar days. Abt Associates will determine the amount(s) to be paid to the Grantee under such claim in accordance with the legally applicable Cost Principles.
11. USAID retains the right to terminate this Grant Agreement unilaterally in extraordinary circumstances.
12. This agreement shall be deemed to be an Agreement made under, governed by, and construed in accordance with the laws of the State of Maryland, United States of America. In the event a disagreement or dispute between Abt Associates and Grantee relating to or arising from this Agreement cannot be settled or adjudicated informally, Grantee and Abt Associates agree that arbitration in accordance with the United Nations Commission on International Trade Law Arbitration Rules (UNCITRAL) in effect as of the date of this Agreement, shall be the exclusive means of resolving such dispute, except for any dispute where injunctive relief is necessary to prevent irreparable harm.

Such disputes shall be submitted to UNCITRAL for binding arbitration in accordance with UNCITRAL's arbitration rules by a single arbitrator. Such arbitration shall be held in Washington DC.

Judgment upon any award rendered may be entered in any court of competent jurisdiction; provided, however, that the arbitrator shall have no authority to add to, modify, change or disregard any lawful terms of this Agreement or to provide any relief or award that is not provided for and consistent with the laws of the State of Maryland, USA.

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13. The Grantee shall defend, indemnify and hold Abt Associates and its directors, officers, agents and employees harmless against any liability, claim, damage, suit, or expense (including reasonable attorney fees) caused by the Grantee's acts or omissions, including without limitation, claims based on: (a) Grantee's infringement of a patent, copyright, trademark, or other intellectual property right; (b) bodily injury, death, or damage to property caused by Grantee; (c) Grantee's conflict of interest, fraud, or criminal conduct; (d) Grantee's noncompliance with applicable laws or regulations; (e) Grantee's noncompliance with financial record keeping and reporting requirements of the Grant; (f) Grantee's failure to compensate, or comply with any applicable labor standards, laws, or regulations with respect to Grantee's employees, agents, or lower tier recipients or contractors; or (g) Grantee's breach of this Agreement, or any representation or warranty contained in this Agreement.

No provision of this Agreement shall in any way inure to the benefit of any third-party so as to constitute such party as a third-party beneficiary of the Agreement or any one or more of the terms here of, or otherwise give rise to any cause of action in any person or entity not a party to the Agreement. The provisions of this section shall survive the expiration or termination of this Grant agreement.

Grantee has no right to submit claims directly to USAID and USAID assumes no liability for any third-party claims against the Grantee.

Please sign this letter to acknowledge your receipt and acceptance of this Grant, retaining a copy for your records and returning an electronic copy to **[Insert the project's designated point of contact]**.

Sincerely,

Anna Rose  
Director, Local Solutions and Grants Management  
Abt Associates, Inc.

Attachments:

- A. Schedule
- B. Program Description
- C. Deliverable and Milestone Payment Schedule
- D. Mandatory And As Applicable Standard Provisions For Fixed Amount Awards To Nongovernmental Organizations
- E. Branding and Marking Plan **[if applicable to a specific grant]**



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ACKNOWLEDGED BY GRANTEE's duly authorized representative:

Your signature below certifies that you have carefully reviewed the Fixed Amount Award and all of the attached documents and that you in your capacity as your organization's designated agent fully and unconditionally agree with all of the terms and conditions contained herein.

In addition, your signature below certifies that as of the time of award of this Grant that neither the Grantees, nor its principals, are debarred, suspended, or proposed for debarment by the Government of the United States of America.

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**Signature and Date**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Organization:** \_\_\_\_\_

**Unique Entity Identifier:** \_\_\_\_\_

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## ATTACHMENT A SCHEDULE

### A. Purpose of Grant

The purpose of this Grant is to provide support for the program described in Attachment B – Program Description.

### B. Grant Period

The effective date of this Grant Agreement is [Insert start date]. The completion date of the grant is [Insert end date].

### C. Amount of Award and Payment

1. Abt Associates hereby awards the fixed amount of [Insert total amount of grant in currency that payments will be made in which is normally the local currency] for purposes of this grant.
2. Payment will be made to the Grantee upon the Grantee's submission of one copy of a properly prepared voucher (to be provided by Abt Associates) with a certification that the milestone being billed has been completed and providing any other documentation required by Abt Associates specified with each milestone. Each voucher will specify the milestone that is being billed and the fixed amount associated with that milestone. Abt Associates reserves the right to withhold payment subject to milestone completion verification.

### D. Grant Agreement Deliverable and Milestone Payment Schedule

1. The agreed upon Deliverables and Schedule of Milestones for funding under this Grant Agreement are included as Attachment C to this Fixed Amount Award entitled Deliverable and Milestone Payment Schedule.
2. The accomplishment of each milestone will be based on the successful submittal and completion of the tasks or acceptance of deliverables delineated for each milestone.

# USAID Local Health System Sustainability Project

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## ATTACHMENT B PROGRAM DESCRIPTION

[Insert Program Description here.]

# USAID Local Health System Sustainability Project

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## ATTACHMENT C DELIVERABLE AND MILESTONE PAYMENT SCHEDULE

<b>Milestone</b>	<b>Description of Milestone</b>	<b>Required Deliverable(s)</b>	<b>Completion Date</b>	<b>Amount</b>
1	[Example: Acceptance of detailed work plan and monitoring and evaluation plan]	[Abt Associates approved work plan and M&E plan]		
2				
3				
4				

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## ATTACHMENT D STANDARD PROVISIONS FOR FIXED AMOUNT AWARDS TO NONGOVERNMENTAL ORGANIZATIONS

This Grant Agreement is made to the Grantee on condition that the funds will be administered in accordance with the terms and conditions as set forth in this Grant Agreement and the standard provisions for Subrecipients of USAID funds attached here to the Grant (the “Standard Provisions”), and incorporated herein. By signing this Grant Agreement, Grantee agrees that it has reviewed and will comply with the Standard Provisions. Terms in the Standard Provisions shall have the following meanings: "Recipient" shall mean the Grantee and "USAID", “USAID Officials,” “Agreement Officer,” and “AO” shall mean Abt Associates as appropriate.

*Applicable Mandatory and As Applicable Standard Provisions from USAID’s Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations (<https://www.usaid.gov/sites/default/files/documents/303mat.pdf>) will be included in full text any resulting award.*