



USAID
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**USAID/DCHA/CMM
Annual Program Statement (APS)
FY 2012 Technical Leadership
APS-OAA-12-000002**

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
1300 Pennsylvania Avenue, N.W. Washington D.C. 20523

ISSUANCE DATE: February 1, 2012

CLOSING DATE: April 1, 2012

SUBJECT: USAID/DCHA/CMM Annual Program Statement (APS) for Technical Leadership

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), Bureau for Democracy, Conflict and Humanitarian Assistance's (DCHA) Office of Conflict Management and Mitigation (CMM) invites applications for a Technical Leadership APS to support applied research in issues pertaining to conflict and development. The purpose of this APS is to disseminate information to prospective applicants so that they may develop and submit applications for USAID funding. This APS: (A) describes the types of project for which applications will be considered; (B) describes the funding available and the process and requirements for submitting applications; (C) explains the criteria for evaluating applications; and (D) refers prospective applicants to relevant documentation available on the Internet. AID/DCHA/CMM (hereafter DCHA/CMM) anticipates awarding multiple grants and/or cooperative agreements as a result of this APS.

For any questions regarding this APS, please contact the Agreement Specialist (AS) via email at cthornton@usaid.gov no later than February 10, 2012. After the closing time and date for applications, the AS becomes the sole point of contact for all applicant inquiries.


Ousmane Faye
Agreement Officer

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U.S. Agency for International Development FY 2012 Annual Program Statement Technical Leadership

1 Background

The U.S. Agency for International Development (USAID) is an independent federal government agency that supports long-term and equitable economic growth and advances U.S. foreign policy objectives by supporting: economic growth, agriculture and trade; global health; and, democracy, conflict prevention and humanitarian assistance in countries around the world.

With headquarters in Washington, D.C., USAID's strength is its field offices, or USAID Missions, around the world. USAID works in close partnership with private voluntary organizations, indigenous organizations, universities, American businesses, international agencies, other governments, and other U.S. government agencies. USAID has working relationships with more than 3,500 American companies and over 300 U.S.-based private voluntary organizations.

Although the United States Government (USG) spends approximately one percent of the federal budget on development assistance, aid is a critical instrument of America's foreign policy, as it helps advance key national interests. Violent conflict is a major threat to global, national, and human security, and it requires a "3D" response incorporating development, diplomacy, and development. Thus, a core objective of USAID is to prevent and respond to crisis, conflict, and instability by applying development approaches in fragile and conflict-affected states.¹

1.1 Technical Leadership on Conflict Management and Mitigation

USAID's *Conflict Mitigation and Management Policy* (2005) commits the Agency to promoting and internalizing relevant, world-class research on conflict and development. The purpose of this research is to strengthen the Agency's conceptual framework for the design and implementation of USAID's development programs. While conflict is a cross-cutting issue across USAID, the Bureau for Democracy, Conflict, and Humanitarian Assistance, Office of Conflict Management and Mitigation (DCHA/CMM) leads USAID's efforts to identify, analyze, and address the causes and consequences of conflict and instability, and to ensure development programs are sensitive to these same dynamics. More details can be found online at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/.

A core component of DCHA/CMM's programming is devoted to advancing applied research in topics pertinent to conflict and development. This portion of office activities is referred to as the *Technical Leadership* agenda. Through Technical Leadership, DCHA/CMM seeks to distill practical lessons from scholarship, evaluation, and experience to improve the quality of development programming and policy-making.

¹ USAID Policy Framework 2011-2015, http://www.usaid.gov/policy/policyframework_sep11.html

In 2011-2012, the Technical Leadership agenda consisted of three “core” areas of focus: (1) Conflict Early Warning and Emerging Trends; (2) Conflict Assessment; and (3) Conflict Programming Effectiveness. There were five additional thematic areas of focus: (4) Religion, Identity, and Conflict; (5) Development Responses to Violent Extremism and Insurgency; (6) Environment, Natural Resources, and Conflict; (7) Gender and Conflict, and (8) Development Support for Peace Processes.

Three special areas of focus that are linked to the eight broader workstreams are of particular interest to DCHA/CMM. A large portion of the available funds for this APS will be set aside for excellent Applications that directly address any of these three areas. The three special focus areas (described in detail in section 1.2.3) are: (1) Social and Institutional Resilience, (2) Environment and Conflict: A Focus on Water and/or Climate Change, and (3) Programming Effectiveness in Complex Environments.

DCHA/CMM has pursued learning and research objectives in the Technical Leadership agenda through a mix of contracts and grants which have yielded a range of publications and events, including policy papers, programming guides (“toolkits”), quantitative research summaries, workshops, training modules, speaker series, and other deliverables. For examples of such research, refer to USAID’s website.²

Many of DCHA/CMM’s applied research needs are shared broadly beyond USAID. The workstreams in the Technical Leadership agenda concern topics of widespread interest, where high-quality research is already being conducted on key questions, and where such research serves a public purpose. Yet, frequently the individuals and organizations carrying out such research are unaware of the current needs of USAID or lack the direction to make their findings relevant to an audience of USG policy-makers and practitioners. This Technical Leadership APS solicitation, therefore, is intended to strengthen the engagement between research organizations and USAID to facilitate greater alignment between cutting-edge research on conflict and USAID’s objectives for applying development approaches in fragile and conflict-affected countries. To facilitate engagement between the research community and DCHA/CMM, a bidders conference will be held at the **National Press Building 7th Floor USAID/DCHA Main Conference Room 529 14th Street Northwest, Washington D.C., DC 20045**, on **Friday, February 24, 2012 from 9:30 AM -11:30 AM** to enable organizations that plan to submit Applications under this APS to learn more about USAID and its programming requirements. **RSVP to: mlinder@usaid.gov RSVP deadline: February 22, 2012**

² See *Conflict-Related Publications*, http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/other_usaid.html

1.2 Technical Leadership Annual Program Statement

An Annual Program Statement (APS) is a mechanism for USAID to solicit applications for grants or cooperative agreements from potential partners. Information on USAID's policy on these mechanisms may be found in the Automated Directives System, Chapter 303, available online at <http://www.usaid.gov/policy/ads/300/303.pdf>.

Through the present Technical Leadership APS, DCHA/CMM seeks to support creative and innovative approaches toward developing methodologies to assess and implement Technical Leadership activities consistent with DCHA/CMM's annual work plan and Technical Leadership agenda.³ DCHA/CMM's goals for the APS are as follows:

- Advance USAID's thought leadership in conflict, development, and humanitarian assistance by encouraging innovative, cutting-edge research pertinent to USAID's policy and programs.
- Provide a mechanism for DCHA/CMM to solicit grants and cooperative agreements in support of its Technical Leadership agenda, creating a competitive structure to encourage innovation and excellence.
- Encourage applications from both existing and new partners, with preference for (1) organizations local to the communities abroad where USAID works; or (2) American and foreign universities or independent research organizations.

DCHA/CMM prioritizes research likely to produce findings that improve the quality of decision-making by USAID policy makers, program managers (both in the field and in Washington, D.C.), and implementing partners. This approach is consistent with Administrator Rajiv Shah's vision of USAID as "the world's premier development agency" operating as a learning organization driven by science, technology, and a focus on assessing the evidence base behind its rationales.

DCHA/CMM anticipates that thematic areas of focus in future years will change with subsequent issuances of the Technical Leadership APS, although the broader focus will remain on the relationships between development, conflict, and humanitarian issues. This year, Applications in all Technical Leadership workstreams, as defined below in Section 1.2.2, will be considered for funding, but approximately 60% of the available funds for this APS will be set aside for excellent Applications that directly address any of the three focus areas described below in section 1.2.3.

Characteristics of High-Quality Technical Leadership Products

DCHA/CMM anticipates the primary form of deliverable for projects funded through the Technical Leadership APS will be written publications. These publications may be supplemented

³ This Technical Leadership APS should not be confused with the APS for People-to-People and Reconciliation Programs APS-OAA-12-00001 (issued on January 18, 2012), also issued by DCHA/CMM, which supports initiatives to bring together individuals of different ethnic, religious or political backgrounds from areas of civil conflict and war to reconcile differences and promote greater mutual understanding.

by other activities or materials such as training, video/audio media, electronic databases, workshops, or presentations.

USAID expects that publications produced with funding from this Technical Leadership APS conform to high quality standards. Reports submitted to USAID should be relevant to USAID policies and programs, rigorous in design and methodology, and clear in presentation for a non-specialist policy audience.

USAID strongly encourages applicants to review existing publications produced by and for DCHA/CMM, such as the USAID Conflict Toolkits,⁴ the USAID-commissioned report on *Statebuilding in Situations of Fragility and Conflict*,⁵ or the USAID-supported report on *Climate Change, Adaptation, and Conflict: A Preliminary Review of the Issues*.⁶ While these publications are not necessarily indicative of the substance expected from Technical Leadership APS projects, these documents, among others, provide examples of relevant and comprehensible publications suitable for USAID publication.

In addition, all applicants should familiarize themselves with (1) the *World Development Report 2011* produced by The World Bank Group, as well as input papers to the report;⁷ and, (2) *Supporting Statebuilding in Situations of Conflict and Fragility: Policy Guidance* (2011), produced by the OECD-DAC.⁸ These documents provide additional technical background material informing USAID's approach to conflict management and mitigation.

Expectation of Public Release of Findings

USAID intends to publish all publications or deliverables from projects supported through the Technical Leadership APS on its website and/or on the Development Experience Clearinghouse (DEC).⁹ In some cases, USAID may request that certain project data be made public to facilitate public review of findings. For additional information on authorship and intellectual property rules, refer to Section 5.5 of this APS and to [ADS Chapter 318](#). In addition, final publications may be incorporated into a future DCHA/CMM knowledge management system.

Technical Leadership APS Advancing USAID Forward

In 2010, USAID embarked on an ambitious reform effort known as *USAID Forward* intended to change the way the Agency does business—with new partnerships, an emphasis on innovation

⁴ USAID Conflict Toolkits, http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/toolkits.html

⁵ *Statebuilding in Situations of Fragility and Conflict: Relevance for U.S. Policies and Programs*, Gleason, Jones et al (2011), prepared for USAID by Development Alternatives International (DAI), available at http://pdf.usaid.gov/pdf_docs/PNADX385.pdf

⁶ *Climate Change, Adaptation, and Conflict: A Preliminary Review of the Issues*, Jeffrey Stark, Christine Mataya, and Kelley Lubovich, Foundation for Environmental Security and Sustainability Discussion Paper #1 (2009), available at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMMDiscussionPaper1ClimateChangeAdaptationandConflict.pdf

⁷ World Development Report 2011, <http://wdr2011.worldbank.org>

⁸ *Supporting Statebuilding in Situations of Conflict and Fragility: Policy Guidance* (2011), Paris: OECD, http://www.oecd.org/document/12/0,3746,en_2649_33693550_46623180_1_1_1_1,00.html

⁹ Development Enterprise Clearinghouse, <http://dec.usaid.gov/index.cfm>

and a relentless focus on results. It gives USAID the opportunity to transform itself and unleash its full potential to achieve high-impact development.¹⁰

The Technical Leadership APS is designed to advance USAID *Forward* objectives, and the agency's focus on innovation. DCHA/CMM expects and intends for many of the award recipients to bring in leading academic scholars, social entrepreneurs and private sector experts to inform USAID's work. The purpose of the award is to advance USAID's thought leadership in conflict, development, and humanitarian assistance.

Accordingly, USAID strongly encourages applications from universities, independent research institutions, international organizations,¹¹ for-profit and not-for-profit implementing partners, and private voluntary organizations. As a learning organization, DCHA/CMM seeks to create a vibrant web of institutions that collaborate to explore topics of mutual interest in the field of conflict management and mitigation.

1.2.1 Key Technical Concepts

One criterion by which USAID will assess relevance of applications is their pertinence to USAID's activities in the domains of conflict mitigation, conflict management, conflict prevention, and/or conflict-sensitive development or humanitarian assistance. The discussion below briefly describes these four domains for the purpose of clarifying concepts so that applicant terminology within Applications matches the usage commonly employed by DCHA/CMM.

Conflict mitigation activities seek to reduce the threat or impact of violent conflict, religious and political extremism, and widespread instability. Such activities promote peaceful resolution of differences, mitigate violence if it has already broken out, or establish a framework for peace and reconciliation in an ongoing conflict. These activities link directly to political instability, overt violence, or the imminent threat of violence. Many, but not all, mitigation activities phase out shortly after the instability or conflict has abated and stability is reestablished. Projects that strengthen conflict early warning or response, formal and informal peace process undertakings, and various types of reconciliation programs serve as examples of conflict mitigation activity.

Conflict management activities explicitly aim to address the causes and consequences of conflict, but they are often implemented within a traditional development sector, such as democracy and governance, environment, or economic growth. Many of these activities also lay the groundwork for significant longer term results, and work to build the underlying institutions and systems of resilience that provide alternatives to violence in dispute resolution. For example, efforts to improve governance of high-value natural resources which are linked to existing political or armed conflict, employment programs designed to reduce the number of available recruits for militias, or post-conflict reconstruction efforts to restore livelihoods or the workforce, could be considered conflict management efforts. Such activities also could be conflict management or peacebuilding programs that operate as a stand-alone program within a development portfolio.

¹⁰ USAID Forward, <http://forward.usaid.gov>.

¹¹ International organizations would include the United Nations, World Bank, Organisation for Economic Cooperation and Development (OECD), regional organizations such as the African Union or Economic Community of West African States (ECOWAS), etc.

Conflict prevention activities attempt to resolve incompatibilities between groups in conflict before outbreaks of violence. Additionally, from a long-term structural perspective, conflict prevention activities attempt to address the root causes of conflict by ameliorating the deleterious impact of poverty, gender inequalities, or grievances related to access to natural resources. There can sometimes be considerable overlap between the concepts of conflict prevention and mitigation.

Note, the terms *conflict management*, *conflict mitigation*, and *conflict prevention* are often used interchangeably to describe *peacebuilding* activities.

Conflict sensitivity refers to the ability of an organization to (1) understand the context in which it is operating, particularly inter-group relations; (2) understand the interactions between its interventions and the context/group relations; and (3) act upon the understanding of these interactions in order to avoid negative impacts and maximize positive impacts vis-à-vis the conflict.¹²

1.2.2 Technical Leadership Workstreams

To receive an award under this APS, proposed research must be directly relevant to at least one of the following eight Technical Leadership agenda workstreams: (1) Conflict Early Warning and Emerging Trends; (2) Conflict Assessment; (3) Conflict Programming Effectiveness; (4) Religion, Identity, and Conflict; (5) Development Responses to Violent Extremism and Insurgency; (6) Environment, Natural Resources, and Conflict; (7) Gender and Conflict; (8) Development Support for Peace Processes.

Conflict early warning and emerging trends refers to activities designed to alert USAID and its partners to the likelihood of future risks of armed conflict, political violence, or other potentially destabilizing emerging trends. Moreover, this workstream includes any activities to inform USAID policies and programs in light of analytic results generated from such activities.

Conflict assessment refers to activities designed to improve the theory and practice of USAID's analysis of conflict, most often by improving the quality of country-level conflict assessments conducted by the USG, USAID, or USAID implementing partners.

Conflict programming effectiveness refers to activities designed to improve the effectiveness of USAID's conflict management, conflict mitigation, conflict prevention, and conflict-sensitive development or humanitarian assistance programs, with a special focus on the design,

¹² See International Alert et al (2004), *Conflict-sensitive approaches to development, humanitarian assistance and peacebuilding: a resource pack*, London: International Alert, available at <http://www.conflictsensitivity.org>. See also Peter Woodrow and Diana Chigas (2009), "A Distinction with a Difference: Conflict Sensitivity and Peacebuilding," CDA Collaborative Learning Projects, http://www.cdainc.com/cdawww/pdf/article/RPP_Differentiating%20Conflict%20Sensitivity%20and%20Peacebuilding_20091026.pdf

monitoring, and evaluation of such programs, including through particular focus on the *theories of change* that shape USAID/CMM's work.

Religion, identity, and conflict technical leadership activities seek to understand how identity groups (particularly religious identity groups) and related institutions, social patterns, and actors may affect or be affected by conflict and/or foreign assistance in a way that affects the broader dynamics of peace and conflict.

Development Responses to Violent Extremism and Insurgency technical leadership activities seek to generate new learning to inform USAID's implementation of the USAID Policy of the same title (the "VEI Policy").¹³ The VEI Policy identifies those factors, or drivers, that can favor or disfavor the rise of violent extremism or insurgency as well as those that can influence the radicalization of individuals and communities, with a focus on both "push" and "pull" factors.

Environment, natural resources, and conflict technical leadership activities seek to understand how environment, climate, and natural resources, and the social and political institutions and systems for managing them, may affect or be affected by conflict and/or foreign assistance in a way that affects the broader dynamics of peace and conflict.

Gender and conflict technical leadership activities seek to understand how gender may affect or be affected by conflict and/or foreign assistance in a way that affects the broader dynamics of peace and conflict. *Gender* in USAID's usage is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated.¹⁴

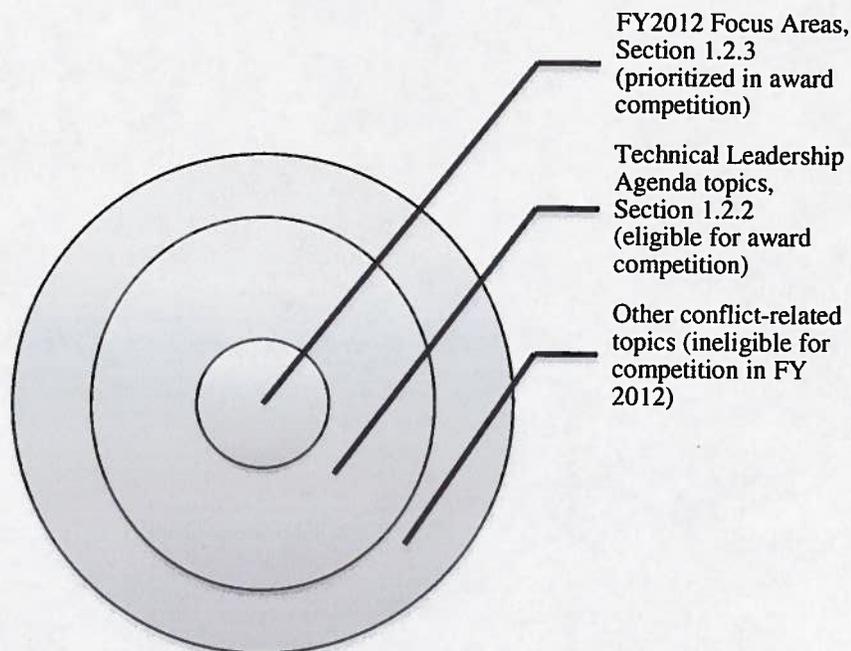
Development support for peace processes technical leadership activities seek to improve understanding of how development assistance can support the formation and implementation of peace accords, with particular focus on improving the quality of the international community's assistance to countries emerging from civil war.

Relationship of Special Focus Areas to Technical Leadership Agenda

In DCHA/CMM's framework, the special focus areas listed in Section 1.2.3 below are nested within the broader workstreams described above. Thus, for example, social and institutional resilience is a component of conflict assessment (as well as other workstreams); water and global climate change fall under environment and natural resource management; and programming effectiveness in complex environments is a form of programming effectiveness. The figure below illustrates the relationship between focus areas and the Technical Leadership agenda. Topics outside of the current Technical Leadership agenda are ineligible for funding under this APS.

¹³ The Development Response to Violent Extremism and Insurgency (2011), USAID Policy, available at http://pdf.usaid.gov/pdf_docs/PDACS400.pdf

¹⁴ The ADS and Gender, http://www.usaid.gov/our_work/cross-cutting_programs/wid/ads_gender.html



1.2.3 Focus Areas for Fiscal Year 2012

In FY2012, USAID will consider Applications for topics falling under any of the above-referenced Technical Leadership workstreams, but it will give preference to research in three priority areas: (1) Social and Institutional Resilience, (2) Environment and Conflict: A Focus on Water and/or Climate Change; and (3) Programming Effectiveness in Complex Environments.

Social and Institutional Resilience – USAID’s 2005 *Fragile States Strategy* outlines how interactions between state and society may produce outcomes deficient in effectiveness or legitimacy. The extent of such deficits may be reflected in fragility in political, social, economic, and security domains, limiting the effectiveness of development interventions and increasing the risk of armed conflict. In recent years, international scholarship has suggested that the proper response to situations of fragility and conflict is for development actors to support efforts to build resilience in institutions and within society. Broadly speaking, *resilience* is conceived as the opposite of *fragility*, such that “*resilient states* are capable of absorbing shocks and transforming and channeling radical change or challenges while maintaining political stability and preventing violence.”¹⁵ However, USAID requires further information to apply this guidance effectively. USAID will provide funding support to applied research projects seeking to supply practical guidance for incorporating a resilience focus into policy or programming. Possible lines of inquiry for research projects could include the following: Are there common signs or indicators of social and institutional resilience that USAID could employ to assess, monitor, and

¹⁵ *Supporting Statebuilding in Situations of Conflict and Fragility: Policy Guidance* (2011), Paris: OECD, http://www.oecd.org/document/12/0,3746,en_2649_33693550_46623180_1_1_1_1,00.html. See also *Statebuilding in Situations of Fragility and Conflict: Relevance for U.S. Policies and Programs*, Gleason, Jones et al (2011), prepared for USAID by Development Alternatives International (DAI), available at http://csis.org/files/publication/110218_Statebuilding_in_Situations_Fragility_Conflict.pdf.

evaluate in the program cycle? How does resilience at the national or regional level compare to and/or affect resilience at the local level and vice-versa? Similarly, what are the most salient characteristics of resilience in formal institutions as compared to informal institutions? What is the relationship between resilience in the state-society relationship as expressed in the OECD-DAC Statebuilding Guidance and resilience as it has been utilized in other spheres of development and humanitarian practice, such as disaster risk reduction, food relief, or food security? Finally, Applications to conduct a comprehensive survey of how resilience has been defined and applied by other donor agencies, implementing agencies, or policy research institutions would be strongly considered for funding support. Proposed projects to conduct such a survey should provide a comparative analysis about the levels of success achieved by various efforts to define and apply the concept of resilience to development programming.

Environment and Conflict: A Focus on Water and/or Climate Change – The physical environment, including the quality and availability of natural resources, has a ubiquitous impact on human security. That impact reaches across multiple contexts of societal activity, including the social, economic, political, and security domains. Recognizing the central role of natural resources and environmental management in many armed conflicts, as well as in development and peacebuilding, USAID has produced Conflict Toolkits on topics such as minerals, forests, and land, as well as issue papers on topics like energy security and climate change adaptation.¹⁶ As USAID continues to build its knowledge and resources associated with critical environmental issues and trends that interact with conflict and development trajectories, the thematic issues of water resource management and global climate change are at the forefront of interest and inquiry.

- The centrality of *water* to all aspects of development is undeniable. The health, economic, social and sometimes political consequences of water deficits (or perceived inequities) in both quantity and quality for all users and for the environment are enormous and linked to many U.S. foreign assistance priorities in tangible and substantive ways. As a result, forging a water secure world is an essential step in all of USAID's development goals.¹⁷ There are 263 river basins in the world shared by two or more countries, and more than 80 percent of the world's fresh water originates within one of those basins,¹⁸ demonstrating the necessity of functional social and political agreements at all levels to manage this valuable resource between competing uses and users. Given the rapid rise in population, environmental degradation and climatic changes over the last fifty years, the potential for violent competition over increasingly stressed freshwater resources has likely also increased. Further complicating the picture, situations of social fragility, violence, and conflict clearly have a powerful impact on water resources themselves and the institutions charged with management and use. At the same time that one considers the conflict potential of water, it is equally important to appreciate the resource's role in building local resilience, and recognize water's ability to serve as a powerful driver of collaboration between parties with divergent interests. Accordingly, in order to inform USG planning and policy around water, DCHA/CMM

¹⁶ See USAID/CMM's Toolkits, available at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/toolkits.html.

¹⁷ http://www.usaid.gov/our_work/cross-cutting_programs/water/index.html

¹⁸ Giordano, Meredith and Aaron Wolf. "The World's International Freshwater Agreements." *Oregon State University*, http://www.transboundarywaters.orst.edu/publications/atlas/atlas_html/interagree.html.

seeks to support projects aiming to generate knowledge regarding (a) how water governance/management affects conflict dynamics (e.g. issues related to quantity, quality, access and/or performance/characteristics of institutions), with an emphasis on understanding intrastate and local contexts, (b) generation of quantitative, global scale data on the relationship between water and conflict/cooperation at the local level, (c) in-depth case studies on the relationship between water and conflict and/or cooperation to prevent conflict at the local or sub-national scale, and/or (d) development of effective analytical frameworks, guidance tools, lessons learned or best practices to inform conflict-sensitive or peacebuilding-focused approaches to water-related development programming and policies.

- *Global climate change* has the potential to significantly alter the relationship between people and their environments and it could undermine the resource base upon which people have built their livelihoods and socio-political institutions. Yet, while violence and instability are frequently cited as potential outcomes of climate change, the reality is much more complicated; armed conflict is a complex phenomenon for which there is never a single causal factor. Further, depending on the local context, climate change and responses to climate change will create both risks and opportunities for peace, security, and development. Therefore, USAID needs to improve its understanding of these complex and interrelated factors. DCHA/CMM seeks to support research efforts to assist the agency with (a) better understanding of where, how, and why climate related stress may exacerbate the dynamics of fragility/conflict or, conversely, how social fragility, violence and conflict can exacerbate the dynamics of climate stress in specific locations and country contexts, (b) developing appropriate analytical frameworks, guidance tools, lessons learned or best practices to inform conflict-sensitive and/or peacebuilding-focused approaches to climate change-related development programming and policies, (c) utilizing geographic and systems maps to analyze climate change, conflict, and development dynamics; (d) analyzing and responding to transboundary or transnational dynamics; and/or (e) identifying and analyzing characteristics of local resilience (social and/or institutional) to climate stress or for conflict prevention which can serve to support mutually compatible objectives (e.g. climate resilience or conflict mitigation outcomes). USAID strongly encourages applicants to refer to *Climate Change, Adaptation, and Conflict: A Preliminary Review of the Issues* prior to submitting a request for funding.¹⁹

Programming Effectiveness in Complex and Fragile Environments – USAID’s policy, *The Development Response to Violent Extremism and Insurgency* (VEI Policy),²⁰ identifies several programming principles to guide activities in fragile environments such as Iraq, Afghanistan, Yemen, and Somalia. The principle of “innovation, evaluation, and learning,” calls on USAID to promote innovation, create mechanisms for self-critique and continuous adaptation, and share lessons learned. The VEI Policy notes on page 14 that USAID will conduct “further research in this field in the context of USAID’s new Evaluation Policy.” That policy calls for higher standards of methodological rigor, greater transparency about evaluation findings, and dedicating

¹⁹ *Climate Change, Adaptation, and Conflict: A Preliminary Review of the Issues*, Jeffrey Stark, Christine Mataya, and Kelley Lubovich, Foundation for Environmental Security and Sustainability Discussion Paper #1 (2009), available at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMMDiscussionPaper1ClimateChangeAdaptationandConflict.pdf

²⁰ USAID VEI Policy (2011), http://pdf.usaid.gov/pdf_docs/PDACS400.pdf

additional resources to evaluation in complex environments. In line with the VEI Policy, USAID will prioritize support for Applications that seek to develop evidence-based guidance for the planning/assessment, design, implementation/monitoring, and evaluation of development activities that seek to target the drivers of extremism and insurgency in either high-threat contexts such as Iraq, Afghanistan, or more permissive environments where extremist groups operate (e.g., Nigeria or Colombia). Successful Applications will directly address issues raised in the VEI Policy and also draw upon previous USAID-supported research efforts, in particular the *Guide to the Drivers of Violent Extremism and Development Assistance and Counter-Extremism: A Guide to Programming*.²¹

2 Annual Program Statement (APS) and Qualifying Criteria for Funding Support

USAID hereby solicits Applications for applied research directly related to the practice of conflict management, conflict mitigation, conflict prevention, and/or conflict-sensitive development/humanitarian assistance. USAID reserves the right to make multiple grants and/or cooperative agreements, or no awards at all, under this APS. DCHA/CMM anticipates awarding approximately eight (8) grants or cooperative agreements in the range of \$50,000 to \$200,000 each. The total amount of funding for the first year is approximately \$700,000.

USAID/CMM expects funding to continue under this APS in FY 2012 and beyond, although the actual number and amount of awards is subject to the availability of funds, as well as the quality and viability of applications received.

2.1 Eligible Applicants

All applicants must be legally recognized organizational entities under applicable law.

DCHA/CMM welcomes applications from many types of organizations including foundations, U.S. and non-U.S. colleges and universities, U.S. and non-U.S. Non-Governmental Organizations (NGOs), faith-based organizations, U.S. and non-U.S. private businesses, business and trade associations, international organizations, civic groups, regional organizations, etc. The following describes additional criteria for some potential partners.

U.S. and Non-U.S. Colleges and Universities: Qualified U.S. and non-U.S. colleges and universities may apply for funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organization. Hence, both public and private colleges and universities are eligible. Non-U.S. colleges

²¹ Guilain Denoeux with Lynn Carter (2009), *Guide to the Drivers of Violent Extremism*, Management Systems International, Commissioned by USAID, available at http://www.usaid.gov/locations/sub-saharan_africa/publications/docs/guide_to_drivers_of_ve.pdf. See also Guilain Denoeux with Lynn Carter (2009), *Development Assistance and Counter-Extremism: A Guide to Programming*, Management Systems International, Commissioned by USAID, available at http://www.usaid.gov/locations/sub-saharan_africa/publications/docs/da_and_cea_guide_to_programming.pdf.

- and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.
- *U.S. and Non-U.S. Non-Profit Organizations:* Qualified U.S. and non-U.S. private non-profit organizations may apply for USAID funding under this APS.
- *U.S. and Non-U.S. For-Profit Organizations:* Potential for-profit applicants should note that USAID policy requires that award funds may not be used for the payment of profits. Also, forgone profit does not qualify as cost-sharing or leveraging. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

Although cooperation with, and endorsement of Applications by various units of USAID is encouraged, and collaboration with USAID units is expected during implementation, this APS is limited to applications from organizations outside of USAID.

2.2 General Criteria for Funding Support

Applicants may submit Applications for funding for research topics falling under any one of the eight technical leadership work streams: (1) Conflict Early Warning and Emerging Trends; (2) Conflict Assessment; (3) Conflict Programming Effectiveness; (4) Religion, Identity, and Conflict; (5) Development Responses to Violent Extremism and Insurgency; (6) Environment, Natural Resources, and Conflict; (7) Gender and Conflict; (8) Development Support for Peace Processes. Please see Section 1.2.2 for more information.

USAID strongly encourages applicants to refer to the materials referenced in Section 1.2 above before submitting Applications. Applications that do not fall clearly within DCHA/CMM's Technical Leadership agenda will not be considered eligible for funding.

Of the total funds available for the Technical Leadership APS, approximately 60% will be set aside for excellent Applications that directly address the three topics that are focus areas for the 2012 fiscal year: (1) Social and Institutional Resilience, (2) Environment and Conflict: A Focus on Water and/or Climate Change, and (3) Programming Effectiveness in Complex and Fragile Environments. See Section 1.2.3 for more information about these special focus areas.

2.3 Project Guidelines

Project Applications should conform to the following guidelines. Section 3.2.1 (Technical Evaluation Criteria) provides more detail about the meaning of each item.

- **Relevance** - Proposed projects should be (1) likely to yield findings relevant to USAID's policy, programs, or activities, or (2) provide new primary source data for the public domain to facilitate future research relevant to development policy and practice. In addition, all projects must be (3) pertinent to DCHA/CMM's Technical Leadership agenda as expressed in Section 1.2 above.

- **Originality and Impact** - Applications should clearly explain how the planned activities will make novel contributions to existing knowledge.
- **Rigor** - Proposed projects should conform to accepted standards of research for the social sciences, whether the primary methodological approach is quantitative or qualitative.
- **Organizational and Team Capabilities** - Proposed projects should offer evidence of their technical resources and organizational expertise.
- **Communication Effectiveness** - Proposed projects should include a credible and suitable plan for communicating research findings to a non-specialist audience, including plans for disseminating and publicizing findings.

Impact evaluations as applied research

DCHA/CMM will consider applications to evaluate existing development projects or programs for Technical Leadership funding in certain cases when the findings of the evaluation could be relevant well beyond the scope of the project being evaluated. For example, a rigorous impact evaluation of an innovative approach to conflict management or conflict mitigation with the potential to be scaled up might be considered for funding. Evaluations may also be considered in cases when the methodology of the evaluation itself is innovative and scalable, such that it could improve USAID's overall capacity to learn from and evaluate other conflict mitigation, conflict management, or conflict sensitive programs. Such applications would need to be in compliance with USAID's new Evaluation Policy, as well as meet all other criteria of the Technical Leadership APS.²²

Exclusions

Finally, proposed projects that have a primary objective of strengthening internal organizational capacity will not be funded. This includes internal organizational reviews, routine program evaluations, conflict assessments for other projects or purposes, or core funding requests.

²² Evaluation Policy, <http://www.usaid.gov/evaluation/>

3 Application Instructions, Review Process, and Evaluation Criteria

3.1 Application Instructions

The process for applying for and receiving funding support through the Technical Leadership APS begins with the submission of a full Application (as described below). All applicants will receive a notice when their application has been received, as well as a notice when DCHA/CMM has made a determination.

Please note page limits, as Applications that exceed the 15-page limit for the main Application body will not be considered. All submissions **must be submitted using the application forms** posted with this APS and should use 12 point Times New Roman or Arial font with 1 inch margins. When referring to established findings reported in academic or practitioner literatures, Applications should provide citations and a corresponding list of references on a separate page (or pages) that will not count against the 15-page limit.

3.1.1 Application Details

The full application is not to exceed **15** pages (including the metadata page and technical narrative), but not including the cost application and supplemental materials. Applicants should provide complete details to respond fully to each of the Application components listed below.

Cover Page (1 page, does not count against 15-page limit):

- Name and address of organization
- Type of organization (e.g., for-profit, non-profit, university, etc.)
- Primary point of contact (lead contact name; relevant telephone, and e-mail information). If the project involves a partnership with a local organization (in either a single or multi-country application), please list the organization name, a primary point of contact, telephone number, and email address.
- Signature of authorized representative of the applicant

Metadata (1 page): Please list the following

- A concise title
- Organization
- Additional partners (and their locations)
- Expected months of project duration
- Total amount of funding requested
- Amount of funding requested in the first year
- The expected dollar amount of leverage, cost-share, or in kind contributions from the implementing organization and partners; names and organizations of key personnel
- CMM area of special focus, if applicable; or, relevant technical leadership workstream
- Country (countries) where project activity will take place

Technical Narrative (14 pages)

- **Executive Summary:** This short description of the proposed project describes its key elements in approximately 250 words.
- **Applied Research Topic and Expected Outcomes:** Provide a *detailed* statement of the primary research question, the main objectives of the proposed research, and its applicability to conflict and development programming. Indicate where the project falls in the DCHA/CMM Technical Leadership Agenda and whether it addresses one of the three focus areas described in section 1.2.3.
- **Project Approach and Activities:**
 - **Research Hypothesis and Methodology:** Describe the core hypothesis of the research or the expected findings. Further, describe *in detail* the methodology to be used to answer the research question, indicating whether the approach is primarily qualitative or quantitative and whether a particular framework or method will be employed. Further, please provide a rationale for any travel and describe what steps researchers will take to manage any security constraints in conflict-affected states. In addition to meeting standards for high-quality social science research, the methodology should be in compliance with USAID policies as outlined in ADS 203 (“Assessing and Learning”) and the Mandatory Reference for ADS Chapter 200 on Protection of Human Subjects in Research Supported by USAID.²³
 - **Expected Challenges and Plans to Address Them:** Please describe any expected risks to the success of the project and plans to mitigate them.
 - **Gender:** Men commit the vast majority of violence against other men and women, but researchers are still learning how women participate in violence either through encouraging the males in their family or committing violence themselves. Culturally-prescribed gender roles will have a significant influence on how men and women engage in or mitigate violence. Therefore, as appropriate, please describe how the project will account for gender-related differences in research hypotheses and findings (see Section 6.2).
- **Communication Plan:** Describe the plan for communicating the research activity and project findings to others. The plan should describe any strategies to convey technical matters to a non-specialist audience, including any use of graphics or audio/visual media. The plan should also indicate how, if at all, data and findings will be shared with other scholars and practitioners, such as through websites, conference presentations, academic journals, or other methods. Applicants may include references to other published work that is demonstrative of their communication capabilities or goals.
- **Evaluation and Performance Monitoring:** USAID Evaluation Policy requires that evaluation methodology be integrated into project design (ADS 203.3.6)²⁴. Describe the

²³ Available at <http://www.usaid.gov/policy/ads/200/200mbe.pdf>

²⁴ Available at <http://www.usaid.gov/policy/ads/200/203.pdf>

draft Performance Management Plan, including the indicators to monitor project performance and reported every quarter, how these data will be collected, and, as relevant, baseline and target values. For projects whose primary function is research, performance management could consist of baselines and targets for steps in the research process itself, such as benchmarks in page numbers, data entry, or computations.

- **Role of USAID:** Describe anticipated role of USAID, if any. This may include facilities, equipment, material, or personnel resources, as well as acting as a connector/network node, utilizing convening power, providing expert knowledge, etc.
- **Organizational and Team Capabilities:** Briefly describe the applicant's organizational history and experience. If partners are proposed, their organizational history and experience should be described and the applicant should demonstrate that the partner organization has been consulted and has agreed to participate in the proposed activities. As appropriate, please include corresponding letters of intent. The applicant should demonstrate success in conducting high-quality social science research on conflict, development, and/or humanitarian assistance. This description should indicate experience implementing conflict mitigation, conflict management, conflict prevention, or conflict-sensitive development activities. The composition and organizational structure of the proposed project team must be well described, including team member titles, roles and requisite technical expertise. An organization chart may be included with the supplemental information (described below) and would not be counted against the 15-page overall limit. The team, as backed by the overall organization, should be well matched to the approach and methodology. The applicant should provide sufficient information on the technical and managerial experience of the project director as well as other relevant project management staff identified by the applicant.

Cost Application: Complete Standard Form SF-424 and supporting narrative (5-page limit); see <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf> for more information. Provide major line items, identification of funding source (i.e., by partner) for each, and a break down by project year. Indicate the Level of Effort (expressed in terms of days spent per person or labor category) for each component of the project and for the project overall. Finally provide a narrative of how the resources will be used, including justification of all costs based on fairness and reasonability as well as whether they match the project (see section 3.2.3).

Supplemental Information – The following information should also be provided as attachments to the main Application body and does not count against the 15-page limit.

- Proposed high-level project implementation schedule (preferably in a Gantt chart)
- Organizational chart depicting management structure of the project team
- Past performance references (maximum of 3), see Section 3.2.2
- Curriculum vitae for key personnel (3-page limit for each CV)

3.2 Evaluation Criteria for Application Review

The following sections describe how USAID/CMM will evaluate complete applications.

3.2.1 Technical Evaluation Criteria

USAID/CMM will evaluate applications according to the following technical criteria and approximate weights. In addition to the technical evaluation, USAID will also weigh past performance (see Section 3.2.2) and cost realism (see Section 3.2.3).

- **Relevance (20%)**
 - Proposed projects should be (1) likely to yield findings relevant to USAID's policy, programs, and or activities, or (2) provide new primary source data for the public domain to facilitate future research relevant to development policy and practice. In addition, all projects must be (3) pertinent to DCHA/CMM's Technical Leadership agenda as expressed in Section 1.2. Projects increase in relevance to USAID to the extent that they concern issues within USAID's mandate and manageable interests. Projects also increase in relevance to the extent that they may be easily integrated into existing policies, frameworks, and approaches.
- **Originality and Impact (25%)**
 - Applications should clarify how the planned activities will address significant gaps in knowledge about how key concepts relate to conflict. In addition, proposed projects should clearly demonstrate that the project findings will break new ground in the understanding of key concepts and how they inform practices related to conflict mitigation, conflict management, or conflict-sensitive programming.
- **Rigor (25%)**
 - Proposed projects should (1) conform to accepted standards of research for the social sciences, whether qualitative or quantitative methods; (2) build upon existing scholarship, evidence, and practice; (3) incorporate analysis of gender throughout the design and implementation;²⁵ and (4) as appropriate, make innovative use of technology.
- **Organizational and Team Capabilities (15%)**
 - Proposed projects should offer evidence of their technical resources and organizational expertise through provision of the following: (1) a brief description of organizational history/expertise; (2) pertinent work experience conducting research or implementing projects similar in scope and magnitude; (3) institutional strength as represented by the breadth and depth of experienced personnel in projects in relevant disciplines/areas, including the curriculum vitae of the proposed project director, lead researcher, or equivalent; (4) proposed partner capabilities and expertise; (5) proposed management structure including an organogram.

²⁵ Applications that expect similar outcomes for men and women will be as competitive as those that explicitly target a gender issue.

- **Communication Effectiveness (15%)**
 - Proposed projects should include a credible and suitable plan for communicating research findings to a non-specialist audience, including plans for disseminating and publicizing findings.

USAID/CMM reserves the right to make selection decisions in such manner that its portfolio of grants is balanced across sectors, countries, and awardees.

3.2.2 Evaluation of Past Performance References

USAID will review past performance references (maximum of three) to evaluate the extent to which the applicant demonstrates the successful implementation of other projects similar in magnitude, complexity, objectives and contexts.

Newer organizations and applicants with little or no prior related grant awards are highly encouraged to apply for USAID/CMM awards and are eligible for consideration, notwithstanding a lack of past performance references. USAID reserves the right to obtain past performance information from all relevant sources, including those not named in applicant's Application.

When past performance information is present, applicants shall furnish award numbers and other details with contact information for two or three similar projects funded over the past three years by USAID, or any other government entity or third party source. The details shall include the following: name of the organization or agency that funded the project(s), award number, point of contact's name, mailing address, email address and phone number, and the overall dollar value of the project.

3.2.3 Cost Application

The cost application allocates sufficient and appropriate funding for all elements of project implementation and activities. It maximizes the allocation of resources for project activities as appropriate.

The cost application section must not exceed five pages plus specified attachments, and must include the following:

- **Cost Application and Cost Application Narrative:** The cost application shall clearly show how funds will be used to support the activities proposed in the application's Technical Narrative. The cost application shall display unit costs (if applicable) and costs by year and shall include sub-cost applications for each component. Line items could include the following: personnel, fringe benefits, office rent, utilities, equipment, communications, travel, and sub-grants. The Cost Application Narrative must explain all costs – and the basis of those costs – contained in the Cost Application.

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

- SF 424, 424A, and 424B (excluded from the five-page limit) should be signed by the applicant and submitted as an electronic file:
 - SF-424, Application for Federal Assistance
 - SF-424A, Cost application Information – Non-Construction Programs
 - SF-424B, Assurances – Non-Construction Programs

A link to these forms can also be found at
<http://apply07.grants.gov/apply/FormLinks?family=16>

- The breakdown of all costs to each partner organization involved in the project.
- The breakdown of all financial and in-kind cost share, if any, of all organizations involved in implementing the proposed activities.
- Potential contributions of non-USAID or private sector donors to the proposed activities.

Signed Assurances, Certifications, and Other Statements, provided as Attachment 4 to this APS, must be provided within the Cost Application electronic file. These pages will not count against the five-page limit.

4 Submission Instructions, Deadlines and Selection Process

Note: USAID/CMM reserves the right to refer any potential applicant to this APS, as well as to invite specific applicants to submit an application for funding under this APS. However, an invitation to submit any application does not constitute an award. USAID/CMM may choose to not fund applications even after they have been requested.

4.1 Submission Instructions

All applications must be in English and submitted electronically (MS Word or searchable PDF, not scanned) to the Agreement Specialist at cthornton@usaid.gov.

Although applications are not required to be submitted through Grants.gov, applicant registration facilitates obtaining a DUNS number and registering with the U.S. Government's Central Contractor Registry. Note that registration through the Central Contractor Registry (CCR) is not required to apply to USAID/CMM, but will be required for any awardee to receive any funding from the United States Government. US Private Voluntary Organizations (PVOs) must be registered as PVOs under 22 CFR 203.²⁶

It is the applicant's responsibility to ensure that files are complete and transmitted by the deadline. USAID bears no responsibility for data errors or omissions. USAID may accept applications past the deadline due to transmission difficulties that are not the fault of, or within the control of, the applicant with the approval of the USAID Agreement Officer.

So that Applications can be stored electronically and include searchable text, facsimile and scanned Application submissions will not be accepted without advance approval of the Agreement Officer.

4.2 Application Submission Deadline

Applications may be submitted at any time, and will be reviewed in a competitive process that will be initiated on the following closing date: April 1, 2012. Any applications submitted after the closing date may be held by USAID/CMM for consideration for funding in the future, contingent on available funds. Potential applicants should refer to grants.gov in order to keep updated on closing dates, as this document will not necessarily be revised. The deadline to submit questions regarding this APS is February 10, 2012 EST.

Evaluation criteria and requirements may be amended at any time, except that due notice of any revisions will be provided and applicants will be given a fair and equal opportunity to apply, or to reapply, against materially new standards, criteria or instructions.

²⁶ Applicants may determine if they meet the definition for a PVO and, if so, find registration instructions at the following address: http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/reg.html

4.3 The Application Submission and Selection Process

USAID reserves the right to invite applications, and ask questions of applicants at any point during the APS solicitation. Applications may be held for review for the entire term of the APS.

Note: An invitation to submit an application does not constitute an award. USAID may choose to not fund applications even after they have been requested.

4.3.1 Selection Process

USAID retains the right to solicit expert technical reviews outside of USAID/CMM provided the reviewers are briefed by the Agreements Officer and sign a form regarding confidentiality and nondisclosure, intellectual property rights that protect proprietary information and recusal if there is potential for conflict of interest. Reviewers may include other U.S. Government personnel or non-U.S. government personnel. Such reviewers are legally bound to rules that prohibit conflicts of interest or use of information for personal gain of any kind; if they have an existing conflict of interest, they must recuse themselves and not participate in a particular review or review round. Applicants who wish to review USAID's procedures or forms or who have further question should contact the Agreement Officer

USAID/CMM reserves the right to pose clarifying questions to and conduct discussions with some, all, or none of the applicants during the selection process as determined by the Agreement Specialist. Applicants are responsible for explicitly noting that they have a pending application to USAID/CMM in any communications with USAID regarding their Application or any of their other projects.

4.3.2 Timelines and Notification

Submission and review timelines will be posted at grants.gov for applicants to prepare and submit their applications for timely review during the APS period. USAID/CMM reserves the right to adjust these timelines as the number of applicants and other scheduling factors may require.

USAID/CMM staff are responsible for the application review process and management of the award process. It can take up to six months or longer for organizations to be notified of the status of their applications. Applicants will be notified when their application is given the following status:

- a. that they are recommended for funding (subject to availability of funds)
- b. that the panel will solicit additional information from the applicant
- c. that the application has not been recommended for funding.

Applicants are responsible to disclose any pending applications to USAID/CMM in any communications with USAID while the APS is open or a decision on their application is still pending.

5 Award and Administration Information

All potential applicants should refer to USAID Automated Directives System Chapter 303 (www.usaid.gov/policy/ads/300/303.pdf) for governing regulations, standard provisions, and required certifications that will need to be submitted by applicants at a later time prior to award. Note that USAID-financed projects and activities must comply with USAID's environmental procedures set forth at 22 CFR 216.

An award shall be made only by the USAID Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance projects and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

USAID awards are always made on condition of availability of USAID funding. Award letters will state that USAID has an intention to fund the project for its duration subject to the continued availability of Congressionally-appropriated funds.

USAID may decide to amend grant agreements to account for cost overruns and delays due to the following processes. However, such amendments would be for minimal amounts and are unlikely to occur.

5.1 Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make any award.

5.2 Post-award Reporting

(1) NGOs

Project reporting requirements shall be in accordance with 22 CFR 226.51 and as agreed with USAID prior to project implementation.

(2) Public International Organizations (PIOs)

Programmatic reporting requirements shall be in accordance with the recipient's standard reporting prepared for all donors, unless USAID is the sole contributor to a trust fund established by the PIO (see 2.5 above), in which case, USAID may require the same reporting requirements as for NGOs (see preceding paragraph above).

(3) Financial & Project Reporting

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected.

Quarterly project performance reports will be due 30 days after each reporting period. The final report will be due not later than 90 days after the expiration of the agreement.

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
- 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)

5.3 Anticipated Number of Awards

USAID plans to make multiple awards under this APS, subject to the availability of funds. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

5.4 Type of Award(s)/Substantial Involvement

USAID anticipates that a grant(s) or cooperative agreement (s) will be awarded as a result of this APS, where USAID will determine the type of award on a case by case basis. Depending on the application(s) that is/are received and selected, USAID may decide to be substantially involved in the implementation of the project, and therefore award a cooperative agreement(s) instead of a grant(s), following a determination that the applicant organizations and/or individuals exhibit fiscal responsibility, character, and integrity. The extent of and approach to the due diligence will vary, depending upon the situation and the potential grantees.

The applicant will operate in accordance with the terms and conditions of the grant or cooperative agreement. Applicants will likely be responsible for the following activities and documentation during the life of the project:

- Conducting ongoing assessment of progress and a final evaluation, and submitting regular reports according to the requirements outlined in the award;
- Applicants should anticipate proposing a quarterly performance monitoring plan, using established baseline data. Output and development outcome indicators and targets will be agreed upon and measured and reported on periodically.
- Cooperating with key USAID staff to facilitate rigorous project evaluations;
- A final report will include an estimation of the return on investment, including assumptions and citations of evidence.
- Reports or parts of reports may be made public.
- Providing financial reports in accordance with the requirements of the formal agreement between USAID and the successful applicant,
- Requesting approval for any changes in research/project objectives;
- Notifying USAID when receiving additional funding from another source for this or any related project.
- Briefing USAID personnel in Washington and in the field on project progress and outcomes;
- Compliance with USAID branding requirements, and;
- Mutual agreement on any additional provisions.

Cooperative agreements are identical to grants except that USAID may be substantially involved in one or more of the following areas:

- (1) USAID approval of the recipient's implementation and performance management plans (limited to not more frequently than annually);
- (2) USAID approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
- (3) USAID and recipient collaboration or joint participation which includes one or more of the following:
 - a. Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;
 - b. USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - c. USAID collaboration on joint communication/branding plan.

Upon award, an Agreement Officer's Technical Representative (AOTR) shall be appointed by the Agreement Officer to provide technical and administrative oversight of the specific award.

5.5 Project Income

(1) NGOs

If the successful applicant(s) is/are a non-profit organization, any project income generated under the award(s) will be **added to** USAID funding (and any cost-sharing that may be provided), and used for project purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any project income generated under the award(s) will be **deducted from** the total project cost to determine the amount of USAID funding. Project income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled —Program Income for non-U.S. NGOs.

(2) PIOs

If the successful applicant(s) is/are a PIO, any project income generated under the award(s) will be **added to** USAID funding (and any non-USAID funding that may be provided) and used for program purposes.

Project Property

Grant recipients may retain the entire right, title, and interest throughout the world to any invention or other intellectual property conceived or first reduced to practice in the performance of work under the grant. The U.S. Government in turn shall have a non-exclusive, non-transferable, irrevocable, paid-up license to the invention or other intellectual property for U.S. Government purposes throughout the world.

5.6 Authorized Geographic Code

(1) NGOs

USAID's rules for the source, origin, and componentry of goods (other than restricted goods, as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228 (http://www.access.gpo.gov/nara/cfr/waisidx_08/22cfr228_08.html). These rules do not apply to procurement by the recipient with cost-sharing or program income funds. Except as authorized under USAID's —Local Procurement rules (see 22 CFR 228.40), applicants should assume the authorized geographic code (see 22 CFR 228.1) for the award(s) resulting from this APS is 935, subject to revision depending on the successful applications that are selected. For this reason, applicants should justify the rationale for the purchase of any non-U.S. good and services in their applications.

(2) PIOs

Please note that USAID's procurement rules do not apply to awards to PIOs unless USAID is the sole contributor to a trust fund established by the PIO. If USAID is the sole contributor, the same rules, as prescribed in subparagraph (a) above for NGOs, will apply.

6 Other Considerations

6.1 Evaluation

USAID/CMM adheres to a model of rigorous evaluation of project results. In keeping with this model, USAID/CMM will comply with the USAID Evaluation Policy (January 2011), available online at <http://www.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf>.

While not all provisions may be applicable to the smaller grants awarded under this APS, USAID/CMM requests that its applicants adhere to USAID Evaluation Policy. A draft Performance Management Plan should be included in the Evaluation Methodology section of the complete Application. Please be aware that evaluation results may become public and must be stored in a searchable, internal USAID database. Finally, applicants should also be aware that USAID/CMM may conduct external evaluations of project results through a third party partner, contractor, or grantee to confirm development impacts and the proper stewardship of public funds. Further information and reporting requirements are available in ADS Chapter 203 (<http://www.usaid.gov/policy/ads/200/203.pdf>).²⁷

6.2 Gender Analysis (ADS 201.3.9.3) (Effective Date: 4/25/2011)

Gender²⁸ issues are central to the achievement of strategic plans and Development Objectives (DOs) and USAID strives to promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural, and political development; enjoy socially valued resources and rewards; and realize their human rights. Accordingly, USAID planning in the development of strategic plans and DOs must take into account gender roles and relationships. Gender analysis can help guide long term planning and ensure desired results are achieved. However, gender is not a separate topic to be analyzed and reported on in isolation. USAID's gender integration approach requires that gender analysis be applied to the range of technical issues that are considered in the development of strategic plans, DOs, and projects/activities.

6.2.1 Gender Issues

ADS 303.3.6.3 requires that USAID must address gender issues in all USAID-funded activities (see ADS 201.3.11.6). In RFAs (including those for Leader/Associate Awards) and APSs, the

²⁷ Requirements for Performance Management Plans are listed in ADS 203.3.3, available at <http://www.usaid.gov/policy/ads/200/203.pdf>. They must answer the question —what do you expect to achieve over the life of the project? and —how do you intend to measure your performance? Please be aware that Performance Management Plans are required for all innovative projects of any size, including pilots and proof of concepts.

²⁸ Note: Gender is a social construct that refers to relations between the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, and is dynamic and open to change over time. See [ADS Glossary](#).

- Agreement Officer must ensure that the RFA or APS.
- Integrates gender issues into the solicitation or includes a rationale for not addressing gender in the project or activity, in accordance with ADS 201.3.11.6. When USAID directs applicants to incorporate gender issues into their applications, the RFA or APS must state the requirements in the different performance components, e.g., Program Description, key personnel qualifications, and monitoring and evaluation requirements.
- Integrates gender issues into the technical selection criteria (e.g., technical understanding and approach, monitoring and evaluation, personnel, etc.) that correspond to the performance requirements stated above, unless an approved rationale for not incorporating gender issues has been included in the RFA or APS.

ADS 203.3.4.3 (Reflecting Gender Issues in Performance Indicators) requires that performance management and evaluation must include gender-sensitive indicators and sex-disaggregated data.

For more information on developing indicators, including gender-sensitive indicators, please see the following reference:

- ADS Chapter 203: Assessing and Learning (<http://www.usaid.gov/policy/ads/200/203.pdf>)
- ADS 201.3.9.3 —Gender Considerations (<http://www.usaid.gov/policy/ads/200/201.pdf>)
- ADS 201.3.11.6 —Project/Activity Planning Step 2: Conduct Project-level Analysis as Needed (<http://www.usaid.gov/policy/ads/200/201.pdf>)

6.3 Environmental Protection and Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 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 projects. This mandate is codified in the Code of 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. In addition, the recipient must comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern. No project funded by USAID will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that project, as documented in a Request for Categorical Exclusion (RCE, Initial Environmental Examination (IEE) or Environmental Assessment, duly signed by the

governing Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as —approved Regulation 216 environmental documentation.)

The USAID/DCHA Bureau Environmental Officer (BEO) or any Mission Environmental Officer can be contacted for further information. For a listing of USAID Environmental Officers and background information on this requirement please refer to the USAID Environment Website (http://www.usaid.gov/our_work/environment/compliance/index.html).

All projects funded by this APS must conform to USAID environmental regulations, 22 Code of Federal Regulations (CFR) 216, requiring that any environmental impacts that may arise from proposed activities (e.g., water and sanitation) are properly mitigated or reduced. Through requiring development of an Initial Environmental Examination or IEE, 22 CFR 216 ensures that any unintended environmental impacts of USAID-funded activities are identified and mitigation measures proposed at the design stage. Subsequently, over the life of the project, these environmental mitigation measures are expected to be a standard component of project management. The Applicant must also comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.

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

Amendments (as Needed): If the awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the environmental 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 environmental documentation is submitted and written approval is received from USAID.

6.4 Voluntary Survey on Ensuring Equal Opportunity for Applicants

Executive Order 13279 of December 12, 2002, Equal Protection of the Laws for Faith-Based and Community Organizations, requires select federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service projects that receive federal financial assistance. The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations.

6.5 USAID Disability Policy – Assistance (December 2004)

The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance project goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, project designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID projects and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>

USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded projects and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the project under this Grant or Cooperative Agreement. To that end and to the extent it can accomplish this goal within the scope of the project objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

6.6 Branding and Marking Requirements for Assistance Awards (ADS 320.3.3) (Effective Date: 01/08/2007)

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are —co-branded and co-marked. In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing (see ADS 303.3.10).

6.6.1 Co-branding and Co-marking (ADS 320.3.3.1)

(Effective Date: 01/08/2007)

Co-branding and co-marking mean that the project name represents both USAID and the implementing partner, and the USAID Identity and implementer's logo must both be visible with equal size and prominence on project materials produced for project purposes. Such project materials include the assistance set forth at 22 CFR 226.91 (b) – (e). Project materials do not include commodities the recipient or sub-recipient procures for their own use in administering the USAID-funded project (in accordance with the definition of —commodities in 22 CFR 226.2). In short, co-funding means co-branding and co-marking.

However, the AO, after consulting with the project manager/requesting office, may determine that project goals require that the USAID Identity be larger and more prominent, if USAID is the majority donor and the USAID funded project, project, project or public communication is especially visible and important to USAID.

A host-country symbol or ministry logo or other U.S. Government seal or logo may also be added, if applicable. Marking is not required for recipient's offices, vehicles, and items the

recipient procures for its own administrative use (see 22 CFR Part 226.91 and 320.3.5). The prohibitions on use of the USAID Standard Graphic Identity (see 320.3.1.5 and 320.3.1.6) apply by USAID policy to recipients of grants and cooperative agreements.

6.6.2 Branding and Marking Requirements for Specific Grant, Cooperative Agreement, or Other Assistance Awards (ADS 320.3.3.2) (Effective Date: 01/08/2007)

Marking requirements, including requests for presumptive exceptions (see 22 CFR 226.91(h)) and waivers, for assistance awards must be in accordance with 22 CFR 226.91 (j). By policy, USAID requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations, see 320.3.5), to follow marking requirements for assistance awards as set forth in this chapter and 22 CFR 226.91. In addition to the presumptive exceptions in 22 CFR 226.91(h), loan projects under assistance awards may also be determined to be an exception to the USAID marking policy, in accordance with section 320.3.4.4. For unsolicited Applications and other non-competitive awards, the applicant is considered the Apparently Successful Applicant and may submit a Branding Strategy and Marking Plan with their Application. (See 320.3.1.4 regarding adding incremental funding to existing awards.) AOs, project managers and other members of the SOT/RO, and CTOs, with support from DOCs, Bureau/Office Communications Officers, and the Senior Advisor for Brand Management (LPA), are responsible for ensuring that Apparently Successful Applicants and recipients are familiar with the USAID Partner Co-Branding Guide and other Agency guidance.

A determination by an AO before an award is made that none of the presumptive exceptions applies is not subject to a separate appeal process, but may be handled through normal grant award or administration procedures. A determination by an AO after an award is made that a presumptive exception does not apply is subject to the appeals process at 22 CFR 226.90.

In accordance with section (j) of 22 CFR 226.91 and Marking Under Assistance Instruments, Principal Officers have the authority to approve waivers of marking requirements. Recipients may appeal the Principal Officer's determination concerning a waiver to the Principal Officer's cognizant AA.

For specific guidance to implement the requirements in this chapter in USAID grants and cooperative agreements, see Marking Under Assistance Instruments (ADS Chapter 320 19).

Annex 1: Acronyms

AA: Assistant Administrator
ADS: Automated Directives System
AID/A: United States Agency for International Development, Office of the Administrator
APS: Annual Program Statement
AS: Agreement Specialist
AOTR: Agreement Officer's Technical Representative
APS: Annual Program Statement
BEO: Bureau Environmental Officer
CCR: Central Contractor Registry
CFR: Code of Federal Regulations
CMM: Office of Conflict Management and Mitigation
CTO: Cognizant Technical Officer
DCHA: Bureau for Democracy, Conflict, and Humanitarian Assistance
DO: Development Objectives
DOC: Development Outreach and Communications
DUNS: Data Universal Numbering System
FAA: Foreign Assistance Act
FY: Fiscal Year
IEE: Initial Environmental Examination
LOC: Letter of Credit
LPA: USAID Bureau for Legislative and Public Affairs
NGO: Nongovernmental Organization
OAA: USAID Office of Acquisition and Assistance
OFAC: U.S. Treasury's Office of Foreign Assets Control
OMB: Office of Management and Budget
PIO: Public International Organizations
PMP: Performance Management Plan
PVO: Private Voluntary Organization
RCE: Request for Categorical Exclusion
RFA: Request for Applications
SOT/RO: Strategic Objectives Team / Regional Offices
TIN: Federal Taxpayer Identification Number
UNSC: United Nations Security Council
USAID: The United States Agency for International Development
USC: United States Code
USG: United States Government
VEI: Violent Extremism and Insurgency

Annex 2: Glossary

Grants/Cooperative Agreements: Assistance mechanisms offered by USAID. Through this APS, USAID/CMM can solicit Applications for projects that will require grant funding or a cooperative agreement. Each offer a fixed amount of funding for applicant projects upon receipt of pre-agreed deliverables, which may include milestones, reports, or particular indicators of success. Cooperative agreements are distinguished from grants in that they allow substantial involvement of USAID in the activities of the assistance recipient. For more information on grants and cooperative agreements, please see the linked document: <http://www.usaid.gov/policy/ads/300/30354s1.pdf>.

Projects/activities: The term project entails the proposed actions to be taken by the successful applicant upon the award of a USAID/CMM grant. It is used to mean a set of planned and then executed interventions identified through a design process, which are together intended to achieve a defined development result, generally by solving an associated problem or challenge. An activity also refers to these actions (undertaken by the grantee upon award) in addition to individual, constituent components of a project.

Project details, including performance indicators and milestones, should be outlined in the technical narrative included in Application.

Performance Indicators: Performance indicators measure a particular characteristic or dimension of project results (outputs or outcomes) based on a project's results framework and underlying theory of change. In general, outputs are directly attributable to the program's activities, which project outcomes represent results to which a given program contributes but for which it is not solely responsible.²⁹

Performance Monitoring: Performance monitoring of changes in performance indicators reveals whether desired results are occurring and whether implementation is on track. In general, the results measured are the direct and near term consequences of project activities.³⁰

²⁹ USAID Evaluation Policy, <http://www.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf>

³⁰ Ibid.

Annex 3: Certifications, Assurances, and Other Statements of the Applicant/Recipient

Attached to APS Application in grants.gov

