



SUBJECT: USAID/DCHA/OFDA Annual Program Statement (APS) No. APS-OFDA-11-000001 for USAID/DCHA/OFDA Annual Program Statement (APS) for FY-2011 Reduction of Vulnerability to Coastal Natural Hazards in Asia.

ISSUANCE DATE: January 26, 2011

A. AUTHORITY AND INTRODUCTION

Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA), is seeking to support or stimulate activities (proposals for grant or cooperative agreement funding) from any U.S. or non-U.S. non-profit or for profit nongovernmental organization (NGO), public international organization (PIO or IO), and other qualified non-USG organization to implement activities as described in this Annual Program Statement (APS). Section 491 of the FAA authorizes USG assistance for natural and human-caused disasters abroad, as well as Disaster Risk Reduction (DRR) activities designed to reduce the impact of recurrent natural hazards abroad.

Pursuant to Section 493 of the FAA, the USAID Administrator has been appointed as the President's Special Coordinator for International Disaster Assistance, with responsibility to promote maximum effectiveness and coordination by USG agencies and between the U.S. and other donors in responses to foreign disasters. OFDA provides technical support to the President's Special Coordinator for International Disaster Assistance and coordinates the U.S. Government response to disasters in foreign countries. OFDA is the primary operating unit within USAID for the provision of international disaster assistance, except for (1) emergency food aid, where USAID's Office of Food for Peace (DCHA/FFP) is considered the primary operating unit, and (2) cases where a determination is made that a country is in transition to democracy and USAID's Office of Transition Initiatives (DCH Coastal A/OTI) is designated as the primary operating unit. To this end, the OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and DRR activities.

The purpose of this APS is to disseminate information to prospective applicants so that they may develop and submit applications for OFDA funding in support of the subject DRR program. OFDA anticipates awarding one (1) or multiple grant/cooperative agreements as a result of this APS. This APS: (1) provides relevant background information; (2) describes the program aim, results, and types of activities for which applications will be considered; (3) describes the level of funding

available, and the process and requirements for submitting applications; (4) explains the criteria for evaluating and selecting applications; and (5) refers prospective applicants to related documentation available on the Internet. This program is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants, stipulates that Coastal the *Guidelines* do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits applications (such as through this APS) or an organization submits an unsolicited application. Thus, in order to prevent redundancy, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

OFDA responds globally to all types of natural disasters, including earthquakes, volcanic eruptions, cyclones, floods, droughts, tsunamis, pest infestations, and disease outbreaks. OFDA also provides assistance when lives or livelihoods are threatened by human-caused catastrophes, such as civil conflict, acts of terrorism, or industrial accidents. Disasters can cause loss of life or injury, damage to private or public infrastructure, and interrupt livelihoods. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- A violent act of nature, such as a flood, tsunami, cyclone, drought, earthquake, volcanic eruption, or extreme temperatures;
- Secondary disasters such as storm surges, landslides, or fires, that may be triggered by rapid-onset disasters such as earthquakes or cyclones;
- A human-caused act, such as civil strife, border conflict, explosion, fire, chemical spill, or radiological release;
- A complex emergency, usually of long-term duration, that includes a combination of humanitarian, political, and military dimensions.
- A slowly-developing catastrophe caused by nature, human neglect, or both, such as drought, famine, or epidemic; or
- A potential calamity, including ecological threats menacing lives and property and requiring prevention or monitoring measures.

In addition to disaster response, OFDA supports DRR programs aimed at saving lives; protecting livelihoods and assets; and developing infrastructure to reduce vulnerability of communities to recurrent natural hazards. OFDA programs promote self-sufficiency in DRR by strengthening the capacity of governments at all levels and communities to identify, manage, and lessen effects of natural hazards through sustainable, multi-sectoral programs, as well as to prepare for potential crises effectively.

B. SPECIFIC PROGRAMMATIC GUIDANCE

1. Background

USAID/DCHA/ OFDA Asia

About half a billion people in Asia live in flood-prone river deltas, in low-lying island states or in at-risk coastal areas where the elevations are only a few meters above the current sea levels¹. Coastal communities in Asia are becoming increasingly vulnerable to natural hazards which threaten lives and livelihoods. Recurrent natural hazards such as cyclones, floods, tsunamis, and severe storms lead to loss of life, disrupt livelihood activities, and cause social, economic and environmental damages. Vulnerability and potential impacts are exacerbated by coastal erosion, land subsidence, and cyclical disturbances of sea level fluctuations like king tides. Vulnerability in coastal areas is increasing with high population growth in coastal areas, marginal lands, and hazard-prone areas. Environmental degradation and rapid urbanization are complicating factors that exacerbate vulnerability to natural disasters throughout the region. In addition, climate change will exacerbate impacts and potentially increasing the number of communities exposed to hazards and increasing exposure of those already vulnerable.

Coastal hazards including, floods, wave action, spring tides, cyclones, storm surges and tsunamis are major causes of natural disaster-related deaths in Asia. For example, the 2004 Indian Ocean tele-tsunami, and secondary hazards such as landslides, mudflows, and coastal erosion, claimed over 220,000 lives and caused about \$10 billion in economic damages. Similarly, in 2008, Cyclone Nargis took about 140,000 lives, affected an additional 2.5 million people and caused over \$4 billion in economic damages in Burma. Recent tsunamis, king-tides, and tropical cyclone-induced floods and storm surges caused flooding in low-lying islands and coastal areas in Solomon Islands, Tonga, Samoa, Papua New Guinea, Philippines, Vietnam, Bangladesh and many other countries in the region, once again illustrating the vulnerability of Asia to coastal hazards. These examples underscore the importance of investment in natural disaster preparedness and mitigation activities.

OFDA has been implementing a wide variety of DRR activities in Asia. Recent examples of programs in the region include: tsunami-related early warning in the Pacific Islands, community-based flood early warning systems, multi-hazard community-based disaster risk management, public outreach addressing natural disasters, seismic retrofit demonstrations, flood forecasting and management in transboundary river basins, climate forecasting and applications, community-based disaster vulnerability assessment and mitigation planning, support to the development or refinement of national disaster management plans, medical first response, and search and rescue capacity-building. Examples of OFDA-funded preparedness and mitigation programs can be found at:

http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/

OFDA has also supported disaster preparedness training by developing courses to improve disaster management overseas. Initially focused in Latin America and the Caribbean, the

¹ The Report of the UN Secretary General to ECOSOC: Strengthening of the coordination of emergency humanitarian assistance of the United Nations, 2008.

training program extended to the Asia region in 1994. Courses given throughout the region include standardized training in medical first response, collapsed structure search and rescue, and hospital preparedness for mass casualties. The guiding principles of OFDA training include significant local involvement in content design, local buy-in and eventual organizational adoption of OFDA-supported courses, and the development of a local cadre of instructors who can ultimately sustain the program locally. OFDA has also incorporated elements of DRR into disaster response activities. For instance, in following the Padang, Indonesia earthquake of 2009, OFDA's transition shelter programs included training in the construction of seismic resistant homes.

OFDA's preparedness programs seek to establish an institutional mechanism to administer the program and maintain courses over the long-term. It is essential to the long-term sustainability of the program that it be designed to address needs and priorities that countries themselves deem as important and can commit resources to solving. OFDA sees these programs as catalysts for reducing risk and enhancing readiness.

As of November 1, 2005, the preferred method of distribution of USAID APS' and submission and receipt of concept papers and/or applications is electronically via <http://www.grants.gov> ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

2. Program Scope and Objective(s) of this APS

OFDA is inviting applications proposing disaster risk reduction programs to increase resilience to coastal hazards and strengthen a culture of DRR among the most vulnerable coastal communities in Asia. Intended activities should be implemented in countries and areas where coastal hazards have a direct and recurrent impact on communities, affect the greatest number of people, and have significant socio-economic effects on lives and livelihoods. OFDA is soliciting applications to implement a program for coastal hazard preparedness in Asia, with the following broad objectives:

- Improve understanding of at-risk populations of risks posed by multiple coastal hazards
- Strengthen community, local and national capacities to address vulnerability to coastal hazards
- Promote risk-wise behavior by implementing DRR measures that enhances environmental and natural resource protection.

- Improve dissemination and use by at-risk communities of international, regional, national warning such as tsunami or cyclone early warnings
- Link DRR activities with development programs and/or climate change adaptation plans
- Enhance coordination with USAID missions and other donors to promote sustainability of the programs
- Strengthen regional linkages with other relevant disaster training and management organizations, including the Association of Southeast Asian Nations (ASEAN), South Pacific Applied Geoscience Commission's Disaster Management Unit (SOPAC-DMU), UNISDR, and the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA).

Program activities eligible for funding should be specifically designed to facilitate the efforts of host governments to change their policies and procedure and also include but are not limited to:

1. Development of useful and understandable coastal hazard warnings for communities at risk that will improve dissemination of international, regional and national forecasts, warnings and watches timely to communities at risk in partnership with local emergency managers;
2. Implementation of community-based programs to reduce vulnerability to coastal hazards through improving understanding of coastal vulnerability through coastal risk mapping, preparing strategies to reduce potential impacts, incorporating information into short-, medium- and long-term planning;
3. Enabling coastal communities and local emergency managers to prepare for and respond to multiple hazards, through such tools as evacuation maps, plans and protocols, periodic drills, improved coordination and planning for potential response, promotion of public awareness, and implementation of DRR policies and programs;
4. Reduction of vulnerability of homes and public buildings to coastal hazards through rehabilitation and restoration of degraded coastal ecosystems, especially coastal marshes and forests, mangroves and coral reefs that protect from coastal inundation due to storm surges, local tsunamis, and other coastal hazards;
5. Promotion of risk-wise behavior by working with local governments to reduce new exposure to coastal hazards through better management of land use and effective coastal zone management practices;
6. Encouragement the private sector to become actively involved in DRR, preparedness, emergency response and recovery planning efforts.

3. Program Duration

The program duration is for up to 36 months from the date of award. OFDA plans to fund approved activities starting in the next fiscal year (10/1 – 9/30), but reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

Geographic Focus: OFDA is seeking applications for coastal resilience in Asia. Applications must identify and target the most disaster-prone and vulnerable areas and communities in India, Bangladesh, Sri Lanka, Burma, Indonesia, Pacific Island Nations, Philippines, Papua New Guinea, East Timor, the Maldives, and Vietnam.

4. Anticipated Funding Availability

OFDA anticipates that up to approximately US\$3,750,000 will be available to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

While no ceiling has been established on the comprehensiveness of individual applications, applicants are encouraged to keep costs reasonable in relation to the scope of their proposed activities, recognizing that the total funding under this APS will cover a range of efforts.

5. Anticipated Number of Awards

OFDA plans to make multiple awards under this APS. Nevertheless, OFDA 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.

6. Type of Award(s)/Substantial Involvement

OFDA anticipates that a cooperative agreement(s) will be awarded as a result of this APS. Cooperative agreements are identical to grants except that OFDA may choose to be substantially involved in the following areas

- (a) OFDA approval of the recipient's implementation plans (limited to not more frequently than annually);
- (b) OFDA approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
- (c) OFDA and recipient collaboration or joint participation which includes one or more of the following:
 - Collaborative involvement of selection of advisory committee members (OFDA may also choose to become a member), if applicable;
 - OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);

- OFDA monitoring to permit direction or redirection because of interrelationships with other projects; and

(d) OFDA authority to immediately halt a construction activity, if applicable.

7. Cost-Sharing (Matching)

(a) NGOs

NGOs are not required to include counterpart funding. However, applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities and will be rewarded under the “cost-effectiveness” evaluation criterion set forth in F.5 below. Cost-sharing will be subject to 22 CFR 226.23 and the standard provision entitled “Cost Sharing (Matching)” (U.S. NGOs) or the standard provision entitled “Cost-Sharing (Matching)” for non-U.S. NGOs (see G below).

(b) PIOs

PIOs are not required to include counterpart funding, although applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since they demonstrate a strong commitment to the planned activities and will be rewarded under the “cost-effectiveness” evaluation criterion set forth in F.5 below. While the term “cost-sharing” is not used in USAID grants and cooperative agreements with PIOs, the concept of cost-sharing is manifested by the USAID requirement that USAID must have audit rights, and the recipient must comply with USAID’s procurement requirements, if USAID will be the sole contributor to a trust fund established by a PIO.

8. Program Income

(a) NGOs

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

(b) PIOs

Any program income generated under the award(s) will be added to OFDA funding (and any non-OFDA funding that may be provided) and used for program purposes.

9. Authorized Geographic Code

(a) 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), the authorized geographic code (see 22 CFR 228.1) for the award(s) resulting from this APS is 000, subject to revision depending on the amount of procurement of goods and services proposed to be undertaken by the applicant and proposed sub-recipients and/or if the need for revision is identified and justified by the applicant and the OFDA Director approves such a revision.

(b) PIOs

As indicated in ADS 308, 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 (see ADS 308.3.6.2). If USAID is the sole contributor, the same rules, as prescribed in subparagraph (a) above for NGOs, will apply.

10. Title to Property

(a) NGOs

Title to property financed by OFDA under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled "Title To and Use of Property (Recipient Title; Over \$50,000) for non-U.S. NGOs (see G below).

(b) PIOs

Title to property financed by OFDA under the award(s) will vest in the recipient without further obligation to OFDA, unless USAID is the sole contributor to a trust fund established by the PIO (see G). If USAID is the sole contributor, all such property will be subject to the standard provision entitled "Title To and Use of Property (Recipient Title; Over \$50,000)"

11. Post-Award Reporting

(a) Programmatic Reporting

(1) NGOs

Programmatic reporting will be in accordance with the OFDA *Guidelines for Unsolicited Proposals and Reporting* (see E.1 below). Quarterly program performance reports are required.

(2) 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 B.10(b) above), in which case, OFDA may require the same reporting requirements as for NGOs (see preceding paragraph above).

(b) Financial Reporting and Payment

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant's systems, policies, and procedures meet USG and USAID requirements (see ADS 303.3.9). The recipient(s) will be required to have a U.S. bank account into which payments under the award will be made.

C. APPLICANT ELIGIBILITY

OFDA will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. Applicants must have completed all required steps (if any) with the host government to legally operate their program. **ALL applicants must be currently registered in the Central Contractor Registration (CCR) database and must include the date of their CCR expiration in the application.** The following types of organizations may apply for OFDA funding under this APS:

1. Non-Governmental Organizations (NGOs)

(a) Types and Nationalities of NGOs

(1) U.S. and Non-U.S. Non-Profit Organizations

Qualified U.S. and non-U.S. private non-profit organizations may apply for OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

(2) U.S. and Non-U.S. For-Profit Organizations

Qualified U.S. and non-U.S. private for-profit organizations may apply for OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. 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.

(3) U.S. and Non-U.S. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for OFDA funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

(b) Registration as a Private Voluntary Organization (PVO)

Pursuant to ADS E251.5.3.(a)6, applicants do not need to be registered with USAID as a PVO to be eligible for funding under this APS.

(c) “Responsibility” of Applicant

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

The following criteria are used by USAID in determining an applicant’s “responsibility:”

- (1) Adequacy of Applicant’s Program Description, Budget, and Monitoring System.
- (2) Adequacy of the Applicant’s Financial Resources for Program Performance.
- (3) Applicant’s Ability to Meet Award Conditions:
 - (A) Compliance of Applicant’s Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
 - (B) Compliance of Applicant’s System of Reports and Records with 22 CFR 226.50-53.
 - (C) Compliance of Applicant’s Internal Control Systems with Applicable USG Cost Principles.
 - (i) Internal Controls.
 - (ii) Personnel Policy is Reasonable under Applicable USG Cost Principles.

(iii) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (<http://aoprals.state.gov/>), and Complies with Fly America Requirements.

(D) Compliance of Applicant's Property Management System with 22 CFR 226.30-37.

(E) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (<http://www.usaid.gov/policy/ads/500/591maa.pdf>) for non-U.S. NGOs.

(F) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49.

(G) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.

(4) Satisfactory Record of Performance by Applicant.

(5) Satisfactory Record of Business Integrity by Applicant.

(6) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

In the absence of an affirmative "responsibility" determination, an award can ordinarily not be made. However, in rare cases, an award can be made with "special award conditions" (*i.e.*, additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of "responsibility" cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

(d) New Partners

Partners new to USAID and/or OFDA may submit applications. However, resultant awards to these organizations may be significantly delayed if OFDA must undertake necessary pre-award reviews of these organizations to determine their "responsibility" (see subparagraph [c] above). These organizations should take this into account and plan their implementation dates and activities accordingly.

2. Other USG Agencies

USG departments and agencies may not apply for OFDA funding under this APS.

3. Public International Organizations (PIOs)

PIOs must apply for OFDA funding under this APS.

5. Code of Conduct

As a condition for any award resulting from this APS, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such code of conduct is described in the “Notices” section (page 1) of the *OFDA Guidelines for Unsolicited Proposals and Reporting*.

D. SELECTION PROCESS AND SCHEDULE

1. Selection Process

Applications will be evaluated in accordance with the criteria set forth in Section F below. After evaluation of the applications, either award(s) will be made, or, if deemed necessary or desirable by OFDA, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. After the conclusion of any such discussions/negotiations, such applicants will, unless otherwise advised, be required to submit a revised application, which will be re-evaluated against the criteria set forth in Section F below. Ordinarily, award(s) will be made after the first round of any such discussions/negotiations and revised applications; however, OFDA reserves the right to conduct subsequent rounds of discussions/negotiations and revised applications, and to limit the number of applicants with whom such subsequent discussions/negotiations would be conducted and revised applications requested.

2. Schedule

This APS is open for six months from the date of issuance, although OFDA plans to review applications in batches. Applications received no later than **4:00 p.m. Eastern Time (ET) on March 7, 2011** will be included in the first batch of applications for review.

Questions concerning the first batch of applications under this APS must be received no later than February 7, 2011. Following this date, the questions received by that date, if any, (without attribution to the organization), and answers will be posted as an amendment to this APS if necessary in submitting applications or if the lack of such information would be prejudicial to any other prospective applicant. Questions must be in writing and should be e-mailed to OFDA_APS@ofda.gov. Oral explanations or instructions given before award(s) is/are made will not be binding.

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. If an award(s) results from the first batch of reviewed applications, the award date is anticipated to be April 15, 2011. Late applications will only be considered under subsequent batches of applications, if any.

E. GENERAL GUIDANCE

1. OFDA *Guidelines for Unsolicited Proposals and Reporting*

OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants, stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits concept papers and/or applications (such as through this APS) or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail. Applicants are also encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (<http://www.usaid.gov/pubs/sourcebook/usgov/>), which may also prove helpful in preparing concept papers and/or applications.

2. Content of Applications

Except as may be stated otherwise in this APS, applicants must submit applications in compliance with the OFDA *Guidelines for Unsolicited Proposals and Reporting*, applications that do not adhere to those *Guidelines* will not be considered for funding. Under this APS, all proposed activities must fall under the sector(s) and the subsector(s) as described in those *Guidelines*. Applicants for community based programs are requested to state in their applications: (1) the estimated cost per beneficiary; and (2) the percentage of the total affected population (by administrative unit or site) to be served under any resulting award. Applicants must consider the role that gender plays, demonstrate an understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security, and include a plan for achieving gender-integration and -balance.

It is recognized that, in some programs, identification of specific teaming partners and sub-recipients cannot occur until after award and, hence, specific delineation of responsibilities and costs cannot be provided in the concept paper and/or application. Nevertheless, such information is, in fact, often known at the time the concept paper and/or application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and, thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their concept paper and/or application, if any, to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the concept paper and/or application.

Applications must be submitted in English. Documentation in other languages may be included as long as there is an English translation. Applications should use Word 2000 or newer and/or Excel 2000 or newer. The signed certifications and representations (see Section V.H of the OFDA *Guidelines for Unsolicited Proposals and Reporting*) are required at the time of submission of an

application and may be provided in PDF format. Applications submitted without the required signed documentation will not be considered.

All applications should contain a strong analysis of the potential impact of the program on communities, and applicants should demonstrate a willingness to work directly with relevant local government offices, community leaders, and practitioners within the local communities. Community participation in developing the activities presented in the application should be demonstrated. Should applicants include implementing partners for any of the proposed activities, they will need to demonstrate that their proposed activities have been discussed with and agreed to by those implementing partners, and that adequate consultation has taken place to avoid duplication of efforts. Programs are encouraged to promote interaction and cooperation across a range of stakeholders and partners, including governmental agencies, non-governmental organizations, community groups, etc.

OFDA encourages international NGOs to support, mentor, partner, and collaborate with local organizations. OFDA will consider funding activities under technical sectors and subsectors that improve local organizations' capacities to achieve the technical objectives. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List (which includes the U.S. Department of Treasury's Office of Foreign Assets Control "*Specially Designated Nationals and Blocked Persons List*"), which can be found at: <http://www.epls.gov>. Applicants working through local partners must ensure that local organizations have the capacity to carry-out expanded programs and should consider a capacity-building component which will leave a lasting impact on local organizations.

3. Place and Means of Submission

Applications may be submitted via Grants.gov or electronically to: OFDA_APS@ofda.gov. Copies in .zip format may not be submitted since they are automatically quarantined by USAID's computer security system.

4. Communications with OFDA

As an exception to the OFDA Guidelines for Unsolicited Proposals and Reporting, potential applicants may not have contact with OFDA except as described in Section D.2 above.

5. USAID Disability Policy and Accessibility Standards

The applicant's attention is directed to Section VI.A of the OFDA *Guidelines for Unsolicited Proposals and Reporting*. These policies have implications for both the program design and program budget.

6. Voluntary Survey on Faith-Based and Community Organizations

The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations, as described in Section VI.C of the OFDA *Guidelines for Unsolicited Proposals and Reporting*. This does not apply to PIOs or foreign governmental organizations.

7. Branding Strategy and Marking Plan (BS/MP)

NGO and foreign governmental organization (but not PIO) applicants are required to comply with 22 CFR 226.91 (see G below) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 (http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf). If concept papers are required under this APS, a BS/MP need not be included with the concept paper. As an exception to Section V.G of the OFDA *Guidelines for Unsolicited Proposals and Reporting*, applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application. These rules do not apply to PIOs.

8. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods

The applicant's attention is directed to Section V.F of the OFDA *Guidelines for Unsolicited Proposals*, as well as ADS 313 (<http://www.usaid.gov/policy/ads/300/313.pdf>). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration. These rules do not apply to PIOs unless USAID is the sole contributor to a trust fund established by the PIO.

F. EVALUATION CRITERIA

Applications will be reviewed jointly by OFDA/Washington and OFDA field staff in accordance with the following evaluation criteria. Other USAID staff, USG agencies, OFDA consultants, and other partners may also be invited to review applications on a case-by-case basis provided that such participation does not create a conflict of interest, and further provided that information contained in the application shall be used only for evaluation purposes and shall not be disclosed outside OFDA. Award(s) will be made to organization(s) whose application(s) offer the best value to USAID.

The evaluation criteria and their respective weight (out of a total of 100 points) are:

1. Technical Approach - 25 points

- a. Detailed methodology for accomplishing program results.
- b. Approach for achieving the objectives within the proposed time frame and budget.
- c. Appropriateness of the activities with respect to achieving OFDA's objectives to reduce vulnerability to coastal disasters in the target countries.
- d. Plan for integration of relevant governmental disaster management agencies and communities into the program.
- e. Description of how the proposed activities will be socially and culturally acceptable..

2. Institutional Capability/Past Performance - 15 points

- f. Record of the organization's performance in emergency response, DRR, or other relevant activities.
- g. Demonstrated results in the promotion and support of indigenous organizations or networks, substantiated by positive program reviews and other documentation.
- h. Demonstrated experience working with coastal communities.

3. Contextual Knowledge - 25 points

- i. Experience in DRR in the target countries (within the past five (5) years).
- j. Demonstrated understanding of the political, cultural, social, and institutional norms in the targeted countries.
- k. Clear understanding of the coastal vulnerabilities in the targeted countries.
- l. Demonstrated commitment to supporting local institutions in program planning and implementation.
- m. Demonstrated descriptive understanding of the role gender plays and a plan for achieving gender-integration and balance.

4. Key Personnel - 10 points

- n. Qualifications and relevant work-experience of Key Personnel.

5. Cost - 15 points

- o. Cost Realism: Likelihood that the program can be accomplished within the stated OFDA budget.
- p. Cost Effectiveness: Significance of program impact in terms of cost to OFDA.

6) Coordination - 10 points

Applications will be reviewed in terms of the described level of coordination, specifically:

- q. An overview of how the proposed activities will complement other planned or ongoing initiatives (both those of the applicant and those of other partners/donors) in the country of operation (*e.g.*, how the proposed activities will interact and be sequenced with other humanitarian initiatives in the operational area or adjacent areas, how differing approaches are addressed in the proposed activities in order to minimize potential conflict amongst beneficiary populations.).
- r. Demonstrated adherence to processes, guidelines and policies established by appropriate host government institutions and/or international agencies.
- s. Incorporation of local institutions, organizations, or beneficiary groups into the program planning and implementation. Clear approach for establishing coordinating mechanisms in each country.

G. AWARD ADMINISTRATION AND RELEVANT WEBSITES FOR REFERENCE

1. U.S. Non-Governmental Organizations

Awards to U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 22 CFR 226 which is available at http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html.
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122); and
- OMB Circular A-133 for both universities and non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=7aec43c3df7b2501ebfc92494da2c79c&rgn=div6&view=text&node=48:1.0.1.5.30.2&idno=48>.
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.

2. Non-U.S. Non-Governmental Organizations

Awards to non-U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at http://www.acquisition.gov/far/html/Subpart%2031_2.html.
- USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.
- 22 CFR 226 which is available at http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html. Note that, while 22

CFR 226 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.

(3) PIOs

Awards to PIOs resulting from this APS will be administered in accordance with the following:

- ADS-308, which is available at <http://www.usaid.gov/policy/ads/300/308.pdf>.
- USAID Standard Provisions for Public International Organizations, which are available at <http://www.usaid.gov/policy/ads/300/308mab.pdf>.

(4) Foreign Governmental Organizations

Awards to foreign governmental organizations resulting from this APS will be administered in accordance with the following:

- ADS-350, which is available at <http://www.usaid.gov/policy/ads/300/350.pdf>.
- The sample Strategic Objective Agreement (SOAG), which is available at <http://www.usaid.gov/policy/ads/300/350mac.pdf>; or
- The sample Limited Scope Grant Agreement (LSGA), which is available at <http://www.usaid.gov/policy/ads/300/350mab.pdf>.