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FROM THE AMERICAN PEOPLE

SUBJECT: USAID/DCHA/OFDA Annual Program Statement (APS) No. APS-OFDA-11-000003 for *Building Disaster-Resilient Communities in Latin America and the Caribbean*

ISSUANCE DATE: February 24, 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 the activities 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 and foreign disasters.

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 (DCHA/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.

OFDA responds to all types of foreign natural disasters, including earthquakes, volcanic eruptions, cyclones, floods, droughts, fires, pest infestations, and disease outbreaks. OFDA also provides assistance when lives or livelihoods are threatened by catastrophes, such as civil conflict, acts of terrorism, or technological disasters. Disasters cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Foreign disasters comprise both acts of nature and human-caused events that threaten lives and disrupt economic and social activities. USAID

defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- Sudden-onset disasters, such as a flood, tsunami, hurricane, wildfires, earthquake, volcanic eruption, and secondary disasters induced by these extremes, such as landslides, or civil disturbances;
- A human-caused act, such as civil strife, often causing internal displacement of large numbers of people;
- A complex emergency that usually includes a combination of humanitarian, political, and military dimensions; or
- A slow-onset disaster, such as drought, food insecurity, or epidemic.

OFDA not only responds to disasters but also works with disaster-prone countries to prevent, mitigate, and prepare for the effects of recurrent natural disasters. This includes assistance relating to disaster preparedness, and to risk reduction activities, to lessen adverse impacts of, and to enhance the prediction of and contingency planning for, natural disasters abroad. Disaster planning and preparedness may include identifying vulnerability to recurrent natural hazards in a country or region, building capacity for effective and timely response strategies, and conducting advance planning for relief, rehabilitation, and reconstruction. Disaster risk reduction measures implement activities to reduce adverse impact of natural disasters on human life, livelihoods, and property through activities to increase resiliency to natural hazards. Recognizing the benefits in lives and resources saved, OFDA provides DRR to reduce risks to vulnerable people and property posed by natural and human-caused hazards. DRR activities take many forms, including, but not limited to:

- Building capacity of national and local disaster management entities and communities on timely and effective response and preparedness;
- Provision of technical assistance in national disaster planning for institutions, officials, and other individuals in disaster-prone countries to improve disaster management;
- Implementation of community-based disaster risk reduction, such as community-focused tsunami preparedness; and
- Strengthening hazard early warning system capacities.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek OFDA funding in support of the subject *Building Disaster-Resilient Communities in Latin America and the Caribbean* program and, if so, to assist them in developing and submitting applications. OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of applications.

This APS: (1) provides contextually 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.

OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/updated_guidelines_unsolicited_proposals_reporting.pdf, stipulates that they 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, 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.

As of November 1, 2005, the preferred method of distribution of USAID APS' and submission and receipt of 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.

B. SPECIFIC PROGRAMMATIC GUIDANCE

1. Background

Countries in Latin America and the Caribbean (LAC) are highly vulnerable to a range of natural hazards, including drought, earthquakes, floods, hurricanes, landslides, tsunamis, and volcanic eruptions. Between FY 2000 and FY 2009, OFDA provided more than \$65 million in humanitarian assistance to Latin America and the Caribbean. In FY 2010 that figure grew by more than \$365 million for Haiti alone in response to the January 2010 earthquake.

While response is the major component of OFDA's work in the LAC region, the Mission Statement for the OFDA/LAC Regional office also mandates humanitarian assistance through "early recovery and risk reduction activities that strengthen national, local and community resilience to disasters and increase capacities to reduce risk." These programs may include disaster risk identification, prioritization, and reduction, as well as post-disaster recovery and short-term rehabilitation projects. OFDA provides technical assistance and training to strengthen local disaster management capacity through the Regional Disaster Assistance Program (RDAP).

In early 2009, OFDA's LAC regional office in San José developed a five-year disaster risk reduction (DRR) strategy to further enhance and focus its approach for promoting self-sufficiency in disaster preparedness, management and mitigation at local and national levels. The OFDA/LAC DRR Strategy¹ is based on an analysis of recurrent risks and vulnerable geographical areas within each country. OFDA also recognizes the key role of communities, including individuals and organizations, in reducing, preparing and responding to disasters. Priority is placed on areas with at-risk populations, as well as areas recently affected by disasters, historically vulnerable areas, areas either undergoing rapid and unplanned growth or slated for expansion, and areas undergoing post-disaster transition.

In recognition of the impact of recurrent natural disasters in high-risk areas and the importance of strengthening community resilience to natural extremes in the face of such events into its programming, OFDA/LAC is incorporating a relatively new area into its strategic programming: safeguarding livelihood assets. This comprises activities at family, community and potentially national levels to reduce the level of loss caused by the interplay of hazards and vulnerabilities on household finance and income-generating activities whether in rural, urban or peri-urban areas.

OFDA plans to award up to \$9 million in FY 2011 for the implementation of activities in the LAC region that promote disaster risk reduction, including preparedness activities, and increase community resilience to disastrous events in the strategic technical areas outlined above. Final funding levels will depend on quality of applications, availability of funding and competing priorities.

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

OFDA's mandate is to save lives, alleviate human suffering, and reduce the economic impact of disasters worldwide. In order to achieve this goal, OFDA/LAC is seeking proposals that address our strategic priorities and that aim to reduce risks and strengthen preparedness of vulnerable individuals and families and their communities throughout at-risk areas of the LAC region. Under this APS, OFDA is looking for innovative and proven ways of:

- Safeguarding livelihood assets
- Preventing the loss of shelter
- Building capacity for disaster risk management and risk reduction

Please refer to the OFDA/LAC Disaster Risk Reduction Strategy, 2009, for more details on strategic priorities.

Please also refer to the OFDA Guidelines for Unsolicited Proposals and Reporting, 2008, for more details on Additional Program Description Requirements (APDRs) for specific sectors and sub-sectors, as outlined below.

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http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/sectors/files/fy2011/lac_drr_strategy.pdf

A. Specific Guidance Regarding OFDA Priority Sectors:

Safeguarding livelihood assets

Activities must fall under the following sectors: *Economic Recovery and Market Systems (ERMS)*; *Shelter and Settlements*; *Agriculture and Food Security Humanitarian Studies, Analysis, or Application*; and *Natural and Technological Risks*.

- Within the *ERMS* sector, protecting household-level access to finance and income is prioritized, which could include the sub-sectors of economic asset restoration; market infrastructure rehabilitation; and Microfinance Institutions (MFIs) (for example, improving the disaster risk management capacity of an MFI). The proposed activities must contribute to making the livelihoods of a *specific population* less vulnerable to a *specific and expected* shock/disaster, against which existing coping mechanisms would be insufficient. Proposals must demonstrate a solid understanding of people's livelihood patterns and relevant market systems; of the likely impacts of the expected crisis on these market systems and livelihood patterns; and of how the proposed intervention(s) would mitigate these expected negative impacts. Programs that aim to generally increase or diversify income, without these specificities, would not be appropriate for this APS.
- Within the *Humanitarian Studies, Analysis, or Applications* sector, assessments of critical market systems in geographic areas highly likely to suffer a disaster in the near future are prioritized. This might be, for example, a seed system security assessment (SSSA) or a market-system assessment of a critical good or service, such as the Emergency Market Mapping & Analysis (EMMA) methodology. Please note that an agency awarded funding to carry out such an assessment will not receive preference or special consideration to receive OFDA funding based on the results or for a future disaster response using this assessment. The results of the assessment must be publicly available for free, to be of benefit to the humanitarian community at large.
- Within the *Agriculture and Food Security* sector, the sub-sectors of livestock and seed systems and agricultural inputs are being prioritized. These activities may include livestock safeguarding prior to an impending storm, provision of small livestock feeding, veterinary services, and/or improved household or community seed storage.
- Within the *Natural and Technological Risks* sector, the following are prioritized:
 - coping mechanisms for culturally unique populations, such as indigenous communities; and
 - land-use planning for risk reduction of repeated or recurrent disasters including but not limited to micro-zonification in areas affected by earthquakes, volcanic eruptions, or flooding.

These aspects fall under the sub-sectors of: Disaster Preparedness, Mitigation and Management; Geological Hazards; and Hydro-meteorological Hazards.

Preventing the loss of shelter

Activities must fall under the *Shelter and Settlements* sector, Shelter Hazard Mitigation sub-sector, and could include assisting communities to build (back) better in high risk zones, build on and disseminate information on experiences related to emergency and transitional shelter, and engage in settlements planning featuring identification and management of risks and risk-prone areas.

Building local capacity for disaster risk management and risk reduction

Activities must fall under the *Natural and Technological Risks* sector, (sub-sectors noted above) and should be focused at the community/municipal level while supporting linkages to national disaster risk management systems. Priority activities would include strengthening early warning systems, as well as community-based preparedness activities, which may include community evacuation shelters, plans for evacuation, drought or flood management, or planning for community search and rescue efforts. Activities involving education in DRR should be strongly linked to the community level, while also linking to national level educational programs.

B. General Programmatic Guidance for Potential Applicants:

- All proposals should target countries within Latin America and the Caribbean and should be specific to one region (Central America, South America, or the Caribbean). Proposals may be country-specific or target multiple countries within the region. No general LAC regional proposals or cross-regional proposals will be considered.
- Proposals should link community initiatives to national and regional disaster risk management institutions and mechanisms
- Private sector resources should be leveraged where possible
- Community-based early warning systems (EWS) should be linked to efforts at local, national, and regional levels and integrated with local governance structures
- Programs must address issues of long-term sustainability
- Applications must include a strong needs assessment defining the problem(s) that the application seeks to address
- Proposed activities must address the problems through a program not to exceed 24 months and involve beneficiaries, communities, local authorities, and the larger humanitarian community.
- Applications must include clear transition/exit strategies.
- Successful applications must include a clear evaluation plan designed to measure results and impact of the program.
- Applicants must consider the role that gender plays and plan for achieving gender-integration and balance.
- Preference will be given to proposals that provide evidence of coordination with national DRR strategies.

3. Program Duration

The program duration may be up to 24 months from the date of award. OFDA plans to fund approved activities starting in FY 2011 (October 1, 2010 – September 30, 2011), 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.

4. Anticipated Funding Availability

OFDA anticipates that up to approximately U.S. \$3 million (up to \$9 million total) will be available per region (Central America, South America and the Caribbean) 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.

OFDA will consider any applications up to a maximum amount of U.S. \$1 million.

5. Anticipated Number of Awards

OFDA may make between nine to fifteen 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 grant(s) will be awarded as a result of this APS. However, depending on the application(s) that is/are received and selected, OFDA may decide to be “substantially involved” in the implementation of the program, and therefore reserves the right to award a cooperative agreement(s) instead of a grant(s) accordingly. Cooperative agreements are identical to grants except that OFDA may be substantially involved in one or more of the following areas:

(a) OFDA approval of a 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 a recipient’s total team size, whichever is greater);

(c) OFDA and recipient collaboration or joint participation which includes one or more of the following:

(i) Collaborative involvement in selection of advisory committee members (OFDA may also choose to become a member), if applicable;

(ii) OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;

(iii) OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);

(iv) OFDA monitoring to permit specified kinds of 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 Section F. Evaluation Criteria 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 Section G. 2. below).

(b) PIOs

PIOs are required to provide at least thirty (30) percent of the total program cost of in-kind and/or cash contributions from non-USG sources. Any cost-sharing above this amount will be rewarded under the “cost-effectiveness” evaluation criterion (see Section F. below).

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 Section G. 2. 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 935, subject to the recipient's compliance with the order of preference and file documentation requirements set forth in paragraph (b)(1) of the standard provision entitled "USAID Eligibility Rules for Goods and Services" (see Section G. below).

(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 Section G. 3.). 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 Section G. 2. 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 Section G. 3.). 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 Section G. 3.), 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 Section C. 1. (c) below]. 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.** For registration go to <https://www.bpn.gov/ccr/default.aspx>.

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 are not required to apply for OFDA funding under this APS.

4. 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 April 22, 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 **March 4, 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 June 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*

Except as may be stated otherwise in this APS, applicants must submit their 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. OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/updated_guidelines_unsolicited_proposals_reporting.pdf. In the event of 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 applications.

2. Content of Applications

Under this APS, all proposed activities must fall under any of the following sectors: _Agriculture and Food Security, Economic Recovery and Market Systems, Natural and Technological Risks, Shelter and Settlements; and these corresponding subsectors: _livestock, seed systems and agricultural inputs, fisheries; economic asset restoration, market infrastructure rehabilitation, micro-credit, micro financial institutions; disaster preparedness, mitigation, management, geo-hazards, hydro-meteorological; shelter hazard mitigation; as described in those *Guidelines*. As noted in those *Guidelines*, at least one of the indicators for each subsector must be used. Applicants 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 application. Nevertheless, such information is, in fact, often known at the time the 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 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 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' capacity to achieve the technical objective. 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 (see Section A. above) 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 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 Section G. below) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 (http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf). 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) Justification for Proposed Intervention(s) - 20

The applications will be evaluated based on the justification provided for the proposed program in terms of:

- Identified need(s) based on assessments or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.

- Needs have been quantified, to the extent possible, using **Sphere Guidelines** or other national/international standards;
- The extent of the applicant's attempt to obtain historical and/or baseline data so that the status of the situation can be assessed.
- The extent to which activities target identified needs and fill gaps in current humanitarian programs.
- Consultation with targeted communities prior to submission of the application and incorporation of their concerns and needs into the application.

2) Program Description - 40

The application shall be evaluated from a technical perspective in terms of:

- The application provides sufficient detail for the concrete understanding of methods to be used and for a determination of technical appropriateness to be made.
- The activities are consistent with Section B of this APS.
- Appropriateness of proposed activities to addressing needs and OFDA's objectives within the proposed timeframe.
- Methodology for selecting the targeted population(s); target population clearly identified in terms of number, location, and current status.
- Protection and conflict mitigation issues are clearly addressed throughout the Program Description.
- Description and understanding of the role that gender plays and plan for achieving gender integration and balance; a demonstrated understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security.
- Strength and realism of the Monitoring and Evaluation plan in measuring results and impact of the program.
- Appropriateness of proposed indicators; the organization has made an attempt to identify impact, as well as output, indicators.
- Level of innovation and creativity in the program design and implementation.
- A well-planned transition/exit strategy that transfers activities to host government institutions, local partners, and/or beneficiaries.

3) Institutional Capability and Past Performance - 10

Applicants will also be evaluated based on their institutional capability and past performance, specifically:

- Contextual knowledge of the country of the proposed intervention, including political, economic, cultural, social, and institutional norms.
- The applicant's capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous programs.
- The applicant's ability to begin implementation expeditiously.

- Past performance record, including relationships with U.S. and host government authorities and target populations (see Section VI.D.3 of the OFDA *Guidelines for Unsolicited Proposals and Reporting*).

4) Sustainability - 5

Applications will be evaluated for sustainability in terms of the applicant's plan for how resources might be obtained to continue the activity or program, if appropriate (*e.g.*, cost-recovery mechanisms, discussions with development partners, etc).

5) Coordination - 5

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

- 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.).
- Demonstrated adherence to processes, guidelines and policies established by appropriate host government institutions and/or international agencies.
- Incorporation of local institutions, organizations or beneficiary groups into the program planning and implementation.

6) Cost - 15

With regard to cost, the following sub-criteria will be used:

- Cost-effectiveness: percentage of the overall budget which goes to direct assistance for beneficiaries, and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to OFDA.
- Cost realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

7) Security - 5

In terms of security, applications will be evaluated based on:

- Assessment of the applicant's consideration of the security situation in the proposed area of implementation and if the planned program and budget are structured accordingly.
- Applicant's discussion of how the proposed program will adhere to the organization's security policy.

- Applicant's contingency plan in the event activities are suspended or halted as a direct result of insecurity.

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 https://www.acquisition.gov/far/html/Subpart%2031_2.html.
- 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.access.gpo.gov/nara/cfr/waisidx_03/48cfr31_03.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>.