



USAID
FROM THE AMERICAN PEOPLE

SUBJECT: USAID/DCHA/OFDA Annual Program Statement (APS)
APS-OFDA-12-000001 for Building a Better Response – Strengthening
Non-Governmental Organization (NGO) Capacity and Engagement in the
International Humanitarian Architecture

ISSUANCE DATE: October 11, 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 is designated as the President's Special Coordinator for International Disaster Assistance. As part of USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), USAID/OFDA is designated as the lead USG office to respond to foreign disasters. USAID/OFDA's mandate is to save lives, alleviate suffering, and reduce the social and economic impact of disasters. In pursuit of its mandate, USAID/OFDA works in cooperation with other USG agencies and international humanitarian partners to continuously monitor global hazards and identify potential areas of need. USAID/OFDA is ready to respond whenever disaster strikes.

USAID/OFDA responds to all types of foreign disasters that cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Such natural disasters include but are not limited to earthquakes, volcanic eruptions, cyclones, floods, droughts, fires, pest infestations, and disease outbreaks. USAID/OFDA also provides assistance during complex emergencies outside the U.S. when lives or livelihoods are threatened and/or impacted by catastrophes, such as civil conflict, acts of terrorism, or industrial accidents.

USAID/OFDA also works with disaster-prone countries to prevent, mitigate and prepare for the effects of potential disaster scenarios posed by natural and human-caused hazards. This includes assistance relating to disaster preparedness and risk reduction activities that aim to lessen adverse impacts of, and enhance the prediction of and contingency planning for, natural disasters abroad.

Disaster planning and preparedness identifies the hazards present in a country or region; the vulnerability of people and infrastructure; and the resources available for relief, rehabilitation, and reconstruction efforts. Recognizing the benefits in lives and resources saved, USAID/OFDA provides DRR assistance to reduce risks to vulnerable people and property.

Since the inception of humanitarian reform in late 2004, USAID/OFDA has led USG engagement efforts in the four pillars of reform – providing policy, strategic, technical and financial support. The USG remains committed to supporting humanitarian reform efforts and strengthening the overall humanitarian architecture. Together with other donors, USAID/OFDA and other parts of the USG work to strengthen UN and NGO participation.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek USAID/OFDA funding in support of an initiative called “**Building a Better Response – Strengthening NGO Capacity and Engagement in the International Humanitarian Architecture**” and, if so, to assist them in developing and submitting applications. USAID/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.

USAID/OFDA’s *Guidelines for Unsolicited Proposals and Reporting* (available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants) do not apply to APS submissions. However, many parts of those *Guidelines* are equally applicable regardless of whether USAID/OFDA solicits applications (such as through this APS) or if an organization submits an unsolicited application. Therefore 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.

The preferred method of distribution of USAID APS’ is electronically via <http://www.grants.gov> (“Grants.gov”), which provides a single source for USG-wide competitive grant opportunities. While applicants may submit applications via Grants.Gov the preferred method of submission is via OFDA_APS@ofda.gov. This APS and any future amendments or additions can be downloaded from Grants.Gov. 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

Following a review of the global humanitarian system that produced the Humanitarian Response Review in August 2005, the United Nations (UN) generated a number of UN and non-UN actions aimed at improving performance in humanitarian emergencies. In late 2005, the UN Inter-Agency Standing Committee (IASC) launched a humanitarian reform initiative that emphasized capacity, accountability, predictability, leadership and partnership by establishing new structures to strengthen coordination through a new “cluster approach”; reforming the existing “Humanitarian Coordinator (HC)” system to provide improved leadership; developing new “financing mechanisms” to facilitate better financing; and advancing “partnerships” between UN and non-UN entities.

Since then, the cluster approach has become accepted as an essential element of humanitarian response. Furthermore, the Central Emergency Response Fund (CERF) and other pooled funding mechanisms have played an important role in securing new and non-traditional donors and dollars to humanitarian emergencies, recruitment and training for HCs has been revamped, and humanitarian partnerships have been strengthened and expanded in a variety of ways.

The reforms introduced in 2005 have produced improvements in disaster response and ongoing evaluation of the reforms has resulted in course corrections to achieve the goals. A wide variety of non-UN initiatives have contributed positively to humanitarian reform resulting in an enhanced dialogue within the international humanitarian community and better humanitarian assistance operations.

In 2006, leaders in the NGO community, Red Cross/Red Crescent Societies, and UN humanitarian organizations established the Global Humanitarian Platform (GHP). The GHP identified partnership and a collaborative effort as the “fourth pillar” in humanitarian reform. Through the GHP, the “Principles of Partnership” were developed to highlight the need for equality, transparency, a results-oriented approach, and responsibility and complementarity among humanitarian actors to **enhance the effectiveness of humanitarian action.**

Representing a broad membership that includes donors, academics, and individual experts in addition to the UN, NGOs, and Red Cross/Red Crescent societies, the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) has worked for more than a decade to assess humanitarian response and provide tools for improving performance. USAID supported ALNAP’s *State of the Humanitarian System*, a pilot study released in early 2010, which included a working methodology to be used for future assessments of humanitarian response. Another significant NGO initiative which seeks to assure improved delivery, performance and accountability include the SPHERE Project that sets forth minimum standards in each sector..

Evaluations of the 2010 disasters in Haiti and Pakistan revealed to the international humanitarian community an urgent need to shift the overarching goal from humanitarian reform to a broader focus on improving the performance of the humanitarian assistance architecture. Spearheading a

process to strengthen the response system, the IASC identified five key areas with an emphasis on action: leadership, coordination, accountability, building global capacity for preparedness, and advocacy and communications. NGOs are contributing to the process at the IASC, and in particular are involved in collaborating to help determine minimum commitments and responsibilities of organizations involved in a cluster, as well as defining NGO participation in humanitarian country teams (HCTs). In addition, donors are increasingly aggressive in efforts to coordinate both at the field and headquarters levels on funding and advocacy within the traditional international humanitarian community and within various new communities such as the private sector, media, development efforts, and affected populations.

Because every disaster brings a unique combination of international, regional, and local players, and each country's resources to address a disaster are distinct, instruction and training about how to improve the performance of the humanitarian assistance architecture continue to be one of the most prevalent needs identified in studies about international humanitarian response to disasters. High staff turnover is a frequent problem among INGOs and other international organizations particularly when conditions require a disaster response lasting more than several weeks; thus, the more NGO staff who understand the goals of international humanitarian assistance architecture and technical application of best practices, the more conducive the environment will be to achieving an effective response. Furthermore, national staff of INGOs may have limited exposure to the larger workings of the humanitarian assistance architecture, and have difficulty engaging with international staff from UN agencies and other multilateral organizations. International staff who respond to humanitarian emergencies frequently deploy from outside the affected country with little prior knowledge of conditions on the ground. A broader understanding among humanitarian actors of the international humanitarian architecture and roles and responsibilities can help strengthen relationships in-country where such relationships often form the basis for collaboration and inclusiveness during a disaster.

The number of disasters rose during the past decade and will likely continue to rise. The UN, NGOs, and new actors in humanitarian disaster response have demonstrated that pre-disaster instruction and training for those charged with the planning and delivery of humanitarian assistance has worked to improve the performance of the humanitarian assistance architecture. A global view and comprehensive efforts are needed not only to evaluate performance but to actively engage more humanitarian actors in strengthening partnerships, operationalizing accountability, and better advocating on critical issues such as humanitarian principles, preparedness, and early recovery.

In 2010, a second evaluation of the Cluster System was carried out. In its findings, a number of recommendations were made pertaining to NGO's involvement in humanitarian coordination mechanisms. In particular, a) reinforcement of the role of international NGOs in clusters, b) facilitating the participation of national and local NGOs and strengthening their capacities c) further strengthen learning, and finally d) strengthening training on facilitation, coordination and cross-cutting issues on the national and subnational levels

The USG is a leader among donors in engaging in improving the performance of the humanitarian assistance architecture through financial, technical, and policy support. Through

this APS, USAID/OFDA is committed to continuing its efforts to support NGOs in achieving the goal of delivering the most effective humanitarian disaster response possible.

2. Program Scope and Objectives of this APS

The scope and objectives of the program(s) to be funded under this APS includes strengthening NGO engagement in the humanitarian assistance architecture by providing training and instruction to national and international NGOs on policies and practice. USAID/OFDA is working in close partnership with UN OCHA on this program.

USAID/OFDA's primary objective will be to improve humanitarian response to disasters by fostering understanding of and securing expanded commitment to the internationally-recognized humanitarian assistance architecture, improving coordinating and enhancing its performance.

Key points related to program funding:

- USAID/OFDA strongly encourages creative and innovative ideas.
- USAID/OFDA will prioritize programs that demonstrate high potential to strengthen the capacity of NGOs to respond in the field.
- USAID/OFDA will prioritize programs that have an emphasis on practical approaches to allow an understanding of real contexts and situations.
- These capacity strengthening programs should be worldwide in scope although countries can be targeted if the activities can clearly show global application and not only limited pilot countries.
- USAID/OFDA will prioritize programs that demonstrate broad participation from the NGO community.
- USAID/OFDA will prioritize programs that demonstrate their adaptability to be oriented towards different beneficiary groups (i.e. international NGOs, national NGOs, community-based organizations etc.)
- Applicants should demonstrate an understanding of and substantial experience working with the established international humanitarian architecture —both at the operational level in the field and headquarter locations. Applicants should elaborate on NGO roles and engagement with multiple elements of the international humanitarian assistance architecture as well as identify their strengths in training colleagues in these areas.
- USAID/OFDA will prioritize programs that capture lessons learned and recommendations from studies, evaluations, and other reports that have been produced on the cluster approach, the HC system, financing, accountability, partnerships, preparedness, and broadening the stakeholder base for humanitarian action.
- INGOs, INGO consortia, agencies or partnerships of NGOs and agencies, that can demonstrate engagement with the international humanitarian architecture as well as program implementation experience, are strongly encouraged to apply.
- Programs can be up to two years in duration.

USAID/OFDA's priorities will include (but are not limited to) instruction and training programs that focus on:

- Creative thinking on the part of the APS applicant on how best to engage national and international NGOs on their roles in the cluster approach, humanitarian financing, and partnerships (UN, NGO, regional entities, affected populations, and non-traditional actors among others) and participation within the existing frameworks and system (rather than creating new parallel systems).
- Workshops that provide intensive courses for small groups, accentuating problem solving.
- Exercises to diagnose problems and offer instruction in a particular activity. This can include simulations with supervised practical application of potential humanitarian emergency scenarios.

The USG fully supports efforts to improve the performance of the humanitarian assistance architecture. Training curriculum must support the established architecture as well as provide innovative techniques and approaches for strengthening its application in close coordination with key UN agencies, including the Office for the Coordination of Humanitarian Affairs (OCHA). Applicants are encouraged to make use of existing training materials where relevant which could be adapted to suit specific audiences.

USAID/OFDA seeks training and instruction programs that target the range of individuals most likely to be directly involved in future humanitarian disasters including headquarters staff, country directors, and field level practitioners. USAID/OFDA encourages engagement with the UN in APS applicants' programs and reaching out to the NGO humanitarian community.

3. Program Duration

The program duration is for up to 24 months from the date of award. USAID/OFDA plans to fund approved activities starting in fiscal year 2012, 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

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

While no ceiling has been established on the magnitude 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

USAID/OFDA plans to make one or two awards under this APS. Nevertheless, USAID/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. USAID/OFDA also reserves the right to make no award should there be a lack of strong applications.

6. Type of Award(s)/Substantial Involvement

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

(a) USAID/OFDA approval of the recipient's detailed implementation plans that include start up and implementation activities (limited to not more frequently than annually);

(b) USAID/OFDA approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);

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

- Collaborative involvement of selection of advisory committee members (USAID/OFDA may also choose to become a member), if applicable;
- USAID/OFDA concurrence in advance on the selection of sub-award recipients and/or the substantive technical/programmatic) provisions of sub-awards;
- USAID/OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application); and
- USAID/OFDA monitoring to permit direction or redirection because of interrelationships with other projects.

7. Cost-Sharing (Matching)

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 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 2 below).

8. Program Income

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to USAID/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 USAID/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 2 below).

9. Authorized Geographic Code

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 G below).

10. Title to Property

Title to property financed by USAID/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 2 below).

11. Post-Award Reporting

(a) Programmatic Reporting

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

(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 C 1 [c]). The recipient(s) may be required to have a U.S. bank account into which payments under the award will be made.

C. APPLICANT ELIGIBILITY

USAID/OFDA will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. **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 USAID/OFDA funding under this APS:

1. Non-Governmental Organizations (NGOs)

NGOs are encouraged to partner with each other to apply.

(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 USAID/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. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for USAID/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.

- Performance.
- (2) Adequacy of the Applicant's Financial Resources for Program
 - (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 may submit applications. However, resultant awards to these organizations may be significantly delayed if USAID/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 USAID/OFDA funding under this APS.

3. U.N. Agencies

U.N. agencies may not apply for USAID/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 USAID/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, USAID/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 USAID/OFDA plans to review applications in batches. Applications received no later than **4:00 p.m. Eastern Time (ET) on December 12, 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 **October 18, 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 o/a January 9, 2012. Late applications will only be considered under subsequent batches of applications, if any.

E. GENERAL GUIDANCE

1. USAID/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 USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*. Applications that do not adhere to those *Guidelines* will not be considered for funding. USAID/OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants. 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 the Humanitarian Coordination and Information Management sector(s) and the Coordination and Information Management subsector(s), 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 person receiving training under this program; 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.

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.

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 USAID/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.

3. Place and Means of Submission

Applications may be submitted via Grants.gov (see A above) however the preferred method of submission is 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 USAID/OFDA

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

5. USAID Disability Policy and Accessibility Standards

The applicant's attention is directed to Section VI.A of the USAID/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 USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*.

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

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). As an exception to Section V.G of the USAID/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.

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

The applicant's attention is directed to Section V.F of the USAID/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

F. EVALUATION CRITERIA

Applications will be reviewed jointly by USAID/OFDA/Washington and OFDA field staff in accordance with the following evaluation criteria. Other USAID staff, USG agencies, USAID/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 USAID/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) – 25 points

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.
- 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 - 25 points

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

- Level of innovation and creativity in the program design and implementation.
- 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 USAID/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.
- 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.
- 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 points

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

- Contextual knowledge of the global humanitarian assistance architecture.
- The applicant's capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous programs at both headquarter and field levels.
- Operational experience with working in the international humanitarian architecture.
- 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 USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*).

4) Sustainability - 15 points

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 - 15 points

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 (including Global level), 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 -- 5 points

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 USAID/OFDA.
- Cost realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

7) Security - 5 points

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.

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://www.arnet.gov/far/>.
- 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 https://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.