



**SUBJECT:** USAID/DCHA/OFDA Annual Program Statement (APS) No. APS-OFDA-12-000003 for a “Good Practices” Manual Providing Guidance for Reducing the Risk of Floods Using Natural-Resource Based Techniques.

**ISSUANCE DATE:** February 22, 2012

## **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 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, wild 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 industrial accidents. 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 acts of humankind that disrupt economic and social life. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- A violent act of nature, such as a flood, tsunami, hurricane, wildfire, earthquake, volcanic eruption, landslide, etc.;
- Secondary disasters such as floods, landslides, wildfires, or civil disturbances that may be triggered by rapid-onset disasters such as earthquakes or cyclones;
- A human-caused act, such as civil strife, border conflict, displacement of large numbers of people, explosion, chemical spill, or radiological release;
- A complex emergency, usually of long-term duration, that includes a combination of humanitarian, political, and military dimensions which hinder the provision of external relief;
- A slow-onset natural disasters, humankind's neglect, or both, such as drought, famine, or epidemic; or
- A potential calamity, including ecological threats menacing lives and property and requiring prevention or monitoring measures.

OFDA not only responds to disasters but also works with disaster-prone countries to reduce the adverse impact of recurrent natural disasters. This includes assistance relating to disaster preparedness, planning, management and mitigation activities. 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. Mitigation or risk reduction measures implement activities to reduce loss of life, livelihoods, and property by reducing vulnerability. Recognizing the benefits in lives and resources saved, OFDA provides DRR funding 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:

- Maintenance of regional disaster supply stockpiles;
- Building the capacity of disaster managers on efficient and effective preparedness;
- Technical assistance in national disaster planning for institutions, officials, and other individuals in disaster-prone countries;
- Support for USAID Missions in developing Mission Disaster Relief Plans; and
- Risk reduction and disaster management activities, including hazard early warning systems.

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 DRR program and, if so, to assist them in developing and submitting concept papers and applications. OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of concept papers and applications.

This APS: (1) provides contextually relevant background information; (2) describes the program aim, results, and types of activities for which concept papers and/or applications will be considered; (3) describes the level of funding available and the process and requirements for submitting concept papers and applications; (4) explains the criteria for evaluating and selecting concept papers and 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/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants), stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits 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 concept papers and/or applications is electronically via <http://www.grants.gov> ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto: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**

Hydro-meteorological (climate and weather-induced) hazards account for the largest number of natural disasters recorded and affect more people than any other type of natural hazards in the world. Extreme weather and climate events such as floods, droughts, and cyclones often have severe socioeconomic impacts, such as loss of lives and livelihoods and scarcity of food, water, and energy- adversely affecting human health and the environment. Concurrent with this increasing threat from and vulnerability to natural hazards is a decreasing capacity to buffer such events, often due to environmental degradation and/or the alteration of natural landscapes. When extreme hydrological events occur in areas of low coping capacity, the results can be devastating to communities, the environment, and/or regional economies. Marginalized populations bear the greatest burden, as they are often relegated to the most hazard prone areas and have the least access to support mechanisms. Hydro-meteorological DRR activities have

strong linkages to sustainable natural resource management which helps build resilience to climate change.

The Office of Foreign Disaster Assistance has a mandate to save lives, alleviate suffering, and reduce the social and economic impacts of disaster. While the disasters that OFDA responds to result from a variety of causes, flooding is the most frequent hazard eliciting a response from OFDA in an average year. Responding to natural disasters is OFDA's primary role, but OFDA also provides support to vulnerable communities in developing strategies to mitigate the effects of recurrent natural hazards.

In accordance with its mandate to decrease the social and economic effects of disaster, OFDA is interested in the development of a "Good Practices" manual for communities and local governments focused on reducing flood risks through the use of natural resource-based mitigation measures, where applicable. Natural defenses against flooding at the community and local level are generally effective, affordable, and locally sustainable, and often provide an array of secondary environmental benefits to communities. Natural resource-based mitigation refers to how the river basin landscape is managed so that the flood storage capacity of the basin can be used to mitigate flood losses. It is a river basin where communities and governments agree not to alter the landscape without careful planning and impact analysis. Structural solutions such as levees, dams, and diversions that require significant investment, are difficult to maintain, lead to catastrophes if not designed and constructed appropriately, have adverse impacts on the environment, and in most instances transfer the flood problem to another location. Natural resource-based mitigation can complement other non-structural hydro-meteorological solutions such as: implementing an end to end flood early warning and response system, flood insurance, or flood zoning. However it is important to recognize that integrated solutions of combining non-structural measures and natural resources based mitigation measures will minimize flood losses for high flood risk areas.

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

The purpose of the manual will be to introduce the practice and the science of using natural methods of flood mitigation on a community or municipality level. It is hoped that these methods can be scaled-up amongst neighboring communities for a multiplicative benefit to the watershed in an integrated manner. Several documents exist online and in print discussing some of the concepts OFDA envisions being incorporated, but no specific guidance exists to assist communities and practitioners in understanding what natural flood management is, how to implement mitigation measures at a local level, and how to address any pitfalls/conflicts associated with such interventions.

The manual will need to include examples demonstrating use of natural flood control across a broad range of cultural, geographic, environmental and climatic conditions. It should also discuss cost comparisons of these techniques to traditional "structural" alternatives (e.g., levees, dikes), including operation/maintenance and clear examples of how these techniques can be used to reduce the risk or scale of a disaster in areas subject to severe climate hazards. It will also provide guidance incorporating these techniques into other development sectors (e.g.,

agriculture, enterprise development, and natural resource management), improving disaster prone municipalities' capacity to adapt to changing environmental conditions.

This manual would serve as guidance accessible to USAID staff, bilateral and regional missions, and implementing partners to assist in the development of natural flood control measures independently or integrated within other development sectors. While OFDA anticipates the development of additional manuals in a series relating to natural techniques of disaster risk reduction, OFDA wants to focus on **flooding** in this APS. For an example of the format envisioned for this manual, see: "Low-volume roads engineering; best management practices field guide" by Keller and Sherar (2003)<sup>1</sup>.

Development of this manual will be an iterative process, whereby the developer completes several discrete milestones in support of the APS objectives. This process will begin with a review of the awardee's work plans and proposed timeline. Once approved, the awardee would be expected to create a draft of the manual for review by USAID staff. The awardee would then incorporate comments from USAID and hold a workshop with experts/practitioners in disaster risk reduction, flood control, relevant specialties from USAID, implementing partners, academia, and other pertinent sectors. The purpose of this workshop will be to both educate attendees, and to test and get additional feedback on the format and content of the manual. The manual would then be updated to incorporate guidance from the workshop, and submitted to USAID for final review

Concept notes submitted through this APS should include (at a minimum) the following:

- A proposed outline for accomplishing the APS objectives and milestones within the proposed timeframe and budget
- Description of the applicant's capacity to carry out the necessary technical work, as well as the ability to convey relevant technical information to non-technical audiences
- Detailed prior experience of the organization (along with key personnel) and level of current involvement with relevant stakeholders – including how this activity could complement other planned or ongoing humanitarian and/or development initiatives
- A rough plan for the layout and organization of the manual, including the major themes discussed in this APS

### **3. Program Duration**

The program duration is for up to 24 months from the date of award. OFDA plans to fund approved activities starting in the current fiscal year (10/1 – 9/30), but reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

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<sup>1</sup> Keller G, and J. Sherar. 2003. Low-volume roads engineering; best management practices field guide. Available at: <http://www.encapafrika.org/lvr.htm>

#### **4. Anticipated Funding Availability**

OFDA anticipates that up to approximately US\$500,000 will be available to support the program described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

#### **5. Anticipated Number of Awards**

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

#### **6. Type of Award(s)/Substantial Involvement**

OFDA anticipates that a fixed-obligation grant will be awarded as a result of this APS. However, depending on the application that is 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 instead of a grant 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)**

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 Sections G.1 & G.2 below).

## **8. Program Income**

If the successful applicant is a non-profit organization, any program income generated under the award 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 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 Sections G.1 & 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](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 Sections G.1 & G.2 below).

## **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 Sections G.1 & G.2 below).

## **11. Post-Award Reporting**

**(a) Programmatic Reporting**

Programmatic reporting will be in accordance with the OFDA *Guidelines for Unsolicited Proposals and Reporting* (see Section 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) 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 complete all required steps (if any) with the host government to legally operate their program before implementing their program. **All applicants must be 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 must apply for OFDA funding under this APS.

#### **4. Foreign Governmental Organizations**

Foreign governmental organizations are organizations that function as a governing body, such as foreign ministries and local governments. Foreign governmental organizations may not apply for OFDA funding under this APS. Note: USAID policy makes foreign governmental organizations ineligible as sub-recipients under awards to NGOs unless special approval is provided. Even if special approval is provided, potential applicants must consider the impact of foreign governmental organizations' sovereignty on issues such as audits, cost disallowances, disputes, etc. (see <http://www.usaid.gov/policy/ads/300/updates/iu3-1.pdf>). In addition, USAID policies do not permit the payment of "salary supplements" to employees of a host government except in exceptional circumstances and with special approval. Additional guidance on salary supplements may be found at: <http://www.usaid.gov/policy/ads/200/119780.pdf>.

#### **5. Code of Conduct**

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

### **D. SELECTION PROCESS AND SCHEDULE**

#### **1. Selection Process**

In accordance with ADS 303.3.6.2d, this APS will utilize a multi-tiered competition system under which applicants will first submit brief concept papers. These concept papers will be reviewed and evaluated by OFDA to quickly determine whether OFDA would consider funding the applicant's conceived program, without imposing the burden of preparing full applications initially. Applicants adjudged to have submitted the best concept paper(s) will then be requested to submit full applications for the conceived program (or portion thereof). Such a request is not a commitment by OFDA to support the conceived program (or portion thereof), and acceptance of a concept paper does not guarantee that OFDA will fund a full application after it is submitted. The decision as to whether to submit a full application is at the applicant's sole discretion.

Full applications will be evaluated in accordance with the criteria set forth in Section F below. After evaluation of the applications, either an award 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, an award 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 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 concept papers and applications in batches. Concept papers received at [OFDA\\_APS@ofda.gov](mailto:OFDA_APS@ofda.gov) no later than **5:00 p.m. Eastern Time (ET) on March 28, 2012** will be included in the first batch of concept papers (and subsequent full applications) for review. The deadline for submission of full applications will be specified by OFDA in the request for such applications.

Questions concerning the first batch of concept papers under this APS must be received no later than **March 1, 2012**. 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](mailto:OFDA_APS@ofda.gov). Oral explanations or instructions given before award is made will not be binding.

This APS may be amended either to establish subsequent deadlines or to indicate that an award has been made and that no further funding is available. If an award results from the first batch of reviewed applications, the award date is anticipated to be in June 2012. Late concept papers and/or applications will only be considered under subsequent batches of concept papers and/or 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/#grants](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 concept papers and/or applications..

### 2. Content of Concept Papers and/or Applications

#### (a) Concept Papers

With reference to the OFDA Guidelines for Unsolicited Proposals and Reporting, concept papers should be organized by the applicable OFDA sector(s), each with its appropriate sub-sector(s), include preliminary budget information, and provide applicant organizational information, as follows:

**(1) Cover Letter/Introduction**

- (A) Name and address of organization;
- (B) Type of organization (*e.g.*, non-profit, university, etc.);
- (C) Contact point (phone and e-mail);
- (D) Names of other organizations (USAID, other USG and non-USG) to which the applicant has submitted or plans to submit the application and/or which are funding the proposed activity; and
- (E) Signature of authorized representative of the applicant who is empowered to contractually obligate the applicant.

**(2) Technical Information (Not to Exceed Five Pages)**

- (A) Concise title and objective of proposed activity;
- (B) Provide a brief history of the problem, and how the applicant's methods will provide solutions. Compare common flood strategies with resource-based alternatives, incorporating cross-cutting themes and known constraints to adoption.
- (C) Discussion of the approach, and the types and amounts of effort to be employed and other non-labor inputs (*e.g.*, equipment, materials and supplies, facilities, travel and transport, etc.) to be utilized and/or provided by the applicant and any sub-partners;
- (D) Record of the organization's performance in DRR or other relevant activities, experience with flood and natural resource issues, qualifications of key personnel
- (E) Detailed timeline for accomplishing program results and milestones within the proposed time frame and budget
- (F) Preliminary performance monitoring and evaluation plan (see Section IV.D of the OFDA *Guidelines for Unsolicited Proposals and Reporting*); and
- (H) A coordination plan relating to local institutions, organizations, and/or beneficiary groups - including legal schema.

**(3) Cost Information**

(A) Preliminary budget/cost breakdown (*e.g.*, salaries, travel, indirect costs, etc.), in U.S. dollars, including any cost-sharing;

(B) Brief budget narrative;

**(4) Organizational Information**

(A) Brief description of applicant's previous work and experience, both functionally and geographically (including references); and

(B) Description of organizational capacity and resources (headquarters, regional and/or country offices, field/project offices, etc.).

Under this APS, all proposed activities must fall under the Natural and Technological Risks sector and the Hydro-Meteorological Hazards subsector, as described in those *Guidelines*. As noted in those *Guidelines*, at least one of the indicators for each subsector must be used. Applicants must consider the role that gender plays, demonstrate an understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security, and include a plan for achieving gender-integration and -balance.

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

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 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**

Concept papers and/or applications must be submitted electronically to: [OFDA\\_APS@ofda.gov](mailto:OFDA_APS@ofda.gov). Proposals may also be submitted via Grants.gov (see A above). 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*.

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

NGO and foreign governmental organization (but not PIO) applicants are required to comply with 22 CFR 226.91 (see G.1 below) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 ([http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf)). If concept papers are required under this APS, a BS/MP need not be included with the concept paper. As an exception to Section V.G of the OFDA *Guidelines for Unsolicited Proposals and Reporting*, applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application.

### **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.

## **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, 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 OFDA. An award will be made to organization whose application offers the best value to USAID.

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

1) Program Description - 40 points

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

- Outline for accomplishing program milestones within the proposed time frame
- Demonstrated capacity to develop technical descriptions of proposed techniques (and comparison with “hard-engineering” alternatives), as well as clear language for non-technical practitioners to comprehend/implement approaches
- Level of innovation and creativity in the application
- A well-planned outreach/education strategy geared towards assisting implementers and practitioners with overcoming common constraints to adopting relevant techniques
- Description and understanding of the role that gender plays
- The activities are consistent with Section B of this APS

2) Institutional Capability and Past Performance - 25 points

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

- Contextual knowledge of the subject, including political, economic, cultural, social, and institutional norms in varied settings
- The applicant’s capability and competence in DRR, hydrometeorology and other related activities, as demonstrated by relevant experience and technical expertise in previous programs
- The applicant’s ability to begin implementation expeditiously
- Qualifications and relevant work experience of key personnel

3) Coordination and Cross Sector Linkages - 25 points

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

- An overview of how the proposed activities could complement other planned or ongoing humanitarian and/or development initiatives
- Demonstrated awareness of common 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
- Integration of critical cross cutting themes, such as cost-benefit analysis, regional watershed management, private enterprise, agriculture, and climate change

4) Cost - 10 points

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

- Cost realism and effectiveness: costs are well justified and consistent with likelihood that the program can be accomplished within the stated budget

**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](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html).
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122); and
- OMB Circular A-133 for both universities and non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=7aec43c3df7b2501ebfc92494da2c79c&rgn=div6&view=text&node=48:1.0.1.5.30.2&idno=48>
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.

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

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

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.

- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at [https://www.acquisition.gov/far/html/Subpart%2031\\_2.html](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](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.