

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
OFFICE OF DEVELOPMENT PARTNERS/ PRIVATE SECTOR ALLIANCES
FY2011 GLOBAL DEVELOPMENT ALLIANCE (GDA) ANNUAL PROGRAM
STATEMENT

APS No: M/OAA/GRO/EGAS – 11-002011

PUBLIC-PRIVATE ALLIANCES

Table of Contents

- I. BACKGROUND5**
 - A. Links to Country-led Development6
 - B. Agency Priorities7
- II. PURPOSE OF APS AND QUALIFYING CRITERIA FOR PROSPECTIVE ALLIANCES10**
 - A. Partner Eligibility Criteria11
 - B. Guidelines on Developing Partnerships for USAID12
 - C. Leverage12
- III. APPLICATION INSTRUCTIONS, REVIEW PROCESS, AND EVALUATION CRITERIA.....13**
 - A. Overview of the Application Process13
 - B. Networking14
 - C. Concept Paper Instructions15
 - D. Evaluation Criteria for Concept Paper.....17
 - E. Full Application Instructions17
- IV. AWARDING ALLIANCES19**
 - A. Due Diligence Regarding Potential USAID Partners19
 - B. Memorandum of Understanding (MOU)19
 - C. Roles of Partners.....20
 - 1. Example of USAID Responsibilities 20
 - 2. Example of Resource Partner Responsibilities 20
 - 3. Example of Implementing Partner Responsibilities 21
 - D. Budget Negotiations21
 - E. Award.....21
 - F. Reporting.....22
- V. ANNEXES22**

List of Acronyms

APS	Annual Program Statement
CbA	Collaboration Agreement
CTO	Cognizant Technical Officer
GDA	Global Development Alliance
MOU	Memorandum of Understanding
NGO	Non-governmental Organization
ODA	Official Development Assistance
ODP/PSA	Office of Development Partners/ Private Sector Alliance Division
PPA	Public-Private Alliance
RFA	Request for Application
PVO	Private Voluntary Organization
USAID	United States Agency for International Development
WOU	Washington Operating Unit

Key Definitions

Global Development Alliance (GDA)

GDA is a public-private alliance model that allows USAID to leverage resources in at least a 1:1 ratio from private sector partners and use those assets in a way that allows us to achieve the mutual goals of the partnership. A well-constructed GDA furthers the objectives of the USAID Mission while benefiting the interests of the resource partner(s). Also referred to as a specific type of Public Private Alliance (PPA).

Resource Partner

Resource partners are defined as organizations (e.g., corporations, financial institutions, foundations, social entrepreneurs, diaspora organizations) that bring new technical expertise, market access and approaches, products, innovation, marketing assets and funding.

Private Sector

Part of the economy which is run by private individuals or groups, usually as a means of enterprise for profit, and is not controlled by the state. Enterprises may be local, regional, or international and do not need to be American-owned. May also include philanthropic organizations.

Implementing Partner

Any not-for-profit or for-profit organization that receives USG funding to deliver foreign development assistance on behalf of the American taxpayers. *Examples: NGOs, universities and development contractors*

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

**FY2011 GLOBAL DEVELOPMENT ALLIANCE (GDA) ANNUAL PROGRAM
STATEMENT (APS)**

APS No: M/OAA/GRO/EGAS – 11-002011

PUBLIC-PRIVATE ALLIANCES

Issuance Date:

Closing Date: September 30, 2011

CFDA #: 98.001

This program is authorized in accordance with Part I of the Foreign Assistance Act of 1961 as amended.

Ladies/Gentlemen:

The U.S. Agency for International Development (USAID) continues its commitment to more strategic alliances with the private sector in order to further increase sustainable development impact in the effort to achieve global peace and prosperity. The Obama administration has clearly articulated its commitment to partnership as stated in the Presidential Policy Directive on Global Development: “The United States will reorient our approach to prioritize partnership from policy conception through to implementation, finding new ways to leverage our investments and to spur action by others both in Washington and the field.” Secretary of State Hillary Clinton has stated, “I want more partnerships....I don't think there's any substitute for having seasoned, experienced professionals and experts leading our efforts on diplomacy and development and working, where possible, in partnership and coordination with the private sector and the not-for profit sector.”

USAID fully supports the President’s and Secretary’s vision as reflected in the following remarks by USAID Administrator Rajiv Shah, “We will look at doing things in more innovative ways, often with the private sector – private companies or private foundations – to really bring a higher level of innovation to the area of development and to bring that creativity and risk taking that often does lead to some of the most important breakthroughs on behalf of the world’s poorest populations.”

The United States Agency for International Development (USAID) invites interest from prospective partner organizations to form innovative Global Development Alliances (GDAs) that contribute in a significant manner to achievement of results for USAID’s key initiatives while also contributing to the key interests of private-sector partners. The Agency is particularly interested in innovative approaches that can have a significant impact on a major development challenge. Alliance partners are expected to bring significant new resources, ideas, technologies, and/or partners to address significant development problems and challenges in countries where USAID is currently working. Successful proposals will bring at least a 1:1 resource leveraging to address Agency initiatives or other significant development challenges within USAID’s manageable interest

and will clearly articulate the unique value that the private sector brings to a particular development challenge or Agency initiative, such as helping to increase the scale, efficiency, effectiveness and/or sustainability of an initiative.¹ Proposals which involve corporate resource partners that demonstrate a longer-term commitment to a GDA activity after USAID support ends will be seen as more competitive.

Since 2001, USAID, through the GDA model, has cultivated more than 1,065 public-private alliances with over 3,025 individual partners to contribute billions in combined public-private resources in many of the 90 countries in which USAID operates. Through GDAs, USAID contributes to these partnerships with a wide range of assets including access to broader financing options, assistance in skill and knowledge development, and applying its extensive knowledge of country environments to help reduce the risks of investing in some of the world's poorest countries. This solicitation is intended to encourage and create the competitive environment for new alliances to be created during Fiscal Year 2011, that is, through September 30, 2011.

I. BACKGROUND

USAID is committed to continuing to improve the ways in which we implement our foreign assistance mandate through broader collaboration with new partners. No longer are governments, international organizations, and multilateral development banks the only assistance donors. Rather, over the past 30 years, non-governmental organizations (NGOs), private voluntary organizations (PVOs), cooperatives, faith-based organizations, foundations, corporations, financial institutions, the higher education community, and even individuals (including remittances from diasporas), now provide a greater portion of the total resources that contribute to international development. As a result, the U.S. Government recognizes an exciting opportunity to enhance the impact of its development assistance by improving and extending collaboration with these partners.

USAID has successfully developed strategic alliances in the past with an extensive range of partners, notably NGOs, U.S. universities and colleges, and bilateral and multilateral donor agencies. In 2001, USAID launched the GDA business model² to extend this concept further by 1) increasing the range of prospective partners to include private businesses and financial institutions, private equity firms, social investors, foundations, and other private-sector organizations and 2) seeking alliances with partners that leverage significant new resources and technologies, to address international development issues.

USAID is reorienting how it sees itself in the context of international development assistance, how it relates to implementing partners, and how it seeks alliances with new partners. While the Agency will continue to deploy resources where private funding is not available and where the governmental role is clear and pre-eminent (as in promoting policy change), it hopes, through the use of public-private alliances, where appropriate, to

¹ For detailed methodology on outcomes-based partnership development, refer to the PSA White Paper at http://www.usaid.gov/our_work/global_partnerships/gda/resources/RevaluingPublicPrivateAlliances.pdf

² The GDA model is supported by the ODP/PSA division. GDAs are only one way of doing partnerships with USAID as defined by this APS.

stimulate private-sector-led development and increased private sector investment in the developing countries with whom we partner. USAID has much to offer to its partners, with its unique mandate within the U.S. Government and long-term experience with, and access to, host-country governments and economies. The Agency is able to capitalize on its extensive field presence and network of local development partners and technical expertise to convene, catalyze, integrate, coordinate, promote, facilitate and invest in public-private alliances among development actors. USAID recognizes that effective alliances must focus on common interests and may require significant time and strategic planning. However, such alliances have the potential for not only mobilizing additional resources for development worldwide, but also promoting greater effectiveness of that development and hence greater impact on the problems of poverty, disease, inadequate education, depletion of natural resources, crime, and limited economic opportunity throughout the developing world. Alliances can also contribute to conflict prevention, as well as address global threats and issues such as global climate change and food security.

USAID's decade-long experience in developing partnerships has revealed three primary alliance models that tend to produce the greatest development results:

1. Co-investment in a public good: USAID and private sector partners co-invest in a public good that benefits both the public and the private sectors. One example is the work USAID is supporting to develop industry-wide standards for the impact investing industry to measure social and environmental return of investments.
2. Encouraging Market Entry: USAID partners with the private sector to create the incentives or reduce the risk for a local or international private sector partner to enter into a new market of development significance that the private sector is otherwise unwilling to test. For example, USAID might provide a capital grant or credit guarantee to a local or international food or distribution company to provide it incentives to make investments in a bankable nutritional supplement processing capability that local investors and financial institutions have been unwilling to consider.
3. Harnessing private sector capabilities: USAID leverages the core capability of private sector entities and individuals to address a development issue. For example, USAID might help promote anti-trafficking messages through MTV to reach key audiences.

Please refer to the USAID website at www.usaid.gov/gda for more information about the history and objectives of public-private partnerships. The web site also provides examples of recent alliances worldwide.

A. Links to Country-led Development

Increasingly USAID's strategic focus and programmatic activities are based on the development strategies and plans created by our developing country partners. This approach, which is grounded in the development principles found in the Paris Declaration and Accra Agenda for Action, helps support the sustainability of USAID's programs and better aid and development effectiveness. Offerors under this APS should familiarize themselves with the development plans and strategies of the country for which an alliance

is being proposed and USAID's approach to supporting those plans and strategies.

B. Agency Priorities

This Annual Program Statement (APS) supports the foreign assistance priorities of the U.S. Government, as reflected in USAID's programs and projects. By pursuing opportunities to partner with USAID, innovative development alliances can make important contributions to development and humanitarian objectives in vulnerable countries. USAID is interested in alliances with entities that include the corporate sector but also expand our engagement with social entrepreneurs, foundations, private philanthropists and diaspora communities. Through partnership concepts elicited through this APS, the Agency seeks to support high-priority initiatives such as Feed the Future (food security), Global Climate Change, and the Global Health Initiative, as well as other priority initiatives identified by USAID. Missions and operating units are addressing these initiatives and other priorities through programs in sectors such as economic growth, agriculture and livestock, water supply and sanitation, workforce development and basic or higher education. USAID also seeks to strengthen civil society to promote transparent and accountable governance along with humanitarian assistance. There is a special emphasis on partnership opportunities that engage underserved populations (especially women and youth) and communities as primary beneficiaries.

Feed the Future/Food Security

Food security is a priority for the Administration, and USAID is the lead implementing agency for the President's global hunger and food security initiative, Feed the Future. One billion people live in poverty and chronic hunger, and this number appears to be rising. Sixty percent of these people are rural, women-led small-scale food producers. Twenty percent are rural land-less laborers and twenty percent are urban dwellers. Engagement of the private sector is critical to the success and sustainability of this initiative. Mobilizing private financing – equity and debt -- in key value chains in target countries will be an important component to achieve scale. Partnerships can accelerate actions that improve the ability of millions of food-insecure families to increase production of food staples, improve nutrition for the vulnerable, and increase household income. They can stimulate rural economies through agricultural growth and productivity growth in light of resource degradation, water shortages and climate change, and can make significant contributions to revitalizing the local communities to sustainably reduce food insecurity. Through this APS, USAID expects to identify and support new partnerships that can accelerate inclusive agriculture sector growth, improve nutrition status, especially of women and children, and increase investment in agricultural enterprises. For more details on this Agency priority please visit: www.feedthefuture.gov

Global Climate Change

In support of climate change adaptation, this APS can be used to submit concept papers that propose GDAs that make USAID's development assistance "climate resilient" across all sectors and help put countries on a sustainable, low-emission development path. USAID is interested in supporting partnerships that address implementation of policy reform, institutional modification and/or the stakeholder involvement required for low-emission, climate-resilient development. USAID is also interested in partnerships

with private fund managers and other investors or financial institutions that demonstrate innovative approaches to significantly increase financing for businesses and projects that have measurable emission reductions.

USAID's GCC program is pursuing activities against two objectives—adaptation and mitigation—using three funding streams or “pillars”: adaptation, clean energy, and sustainable landscapes. USAID is also moving to integrate climate change objectives into Feed the Future, water resources management, biodiversity conservation, health, disaster risk reduction and other programs. USAID's ability to work effectively with partner countries to deliver results on the ground will help the United States engage constructively in climate change negotiations. For more details on this agency priority please visit: www.usaid.gov/our_work/environment/climate/index.html

Global Health Initiative

The Administration is emphasizing global health in its diplomacy and development work around the world. With strategic investments in global health, we will spur progress in economic development, job creation, education, agricultural development, gender equity, and political stability.

Through the Global Health Initiative (GHI), the U.S. government is pursuing the dual objectives of achieving **significant health improvements** and creating an **effective, efficient and country-led platform** for the sustainable delivery of essential health care and public health programs. The GHI will help partner countries improve health outcomes through strengthened health systems, with a particular focus on improving the health of women, newborns and children through programs including infectious disease, nutrition, maternal and child health, and safe water. Achieving major improvements in health outcomes is the paramount objective of the Initiative.

GHI takes into account and leverages the health and development efforts of partner countries, other bilateral donors, multilateral organizations, civil society, private sector, and faith-based and non-governmental organizations to achieve the greatest possible impact with U.S. investments. For more details on this agency priority please visit: www.usaid.gov/ghi

Water

Water is a basic requirement for human health, livelihoods, food security, and ecosystem integrity. Water touches on or plays a major role in almost every sector of USAID's work, from agriculture to child survival, democracy to climate change. USAID's strategy for the water sector reflects the integrated nature of the sector and includes attention to all dimensions of water and development, including water supply, sanitation and hygiene, sustainable water resources management, the financing of water and sanitation delivery systems, and productive water use in economic sectors such as agriculture and industry. Through this APS, USAID hopes to elicit new partners for our Missions and Washington Operating Units Washington Operating Units (WOUs) that will create innovative GDAs that can have a significant impact on development challenges across the entire spectrum of water-related development issues. See also, “Other Agency Priorities.”

Science and Technology

Continued progress in science, technology and innovation with improved application of technology in development is critical to the President's goal of increasing the number of prosperous, capable and democratic states. Input of U.S. science, technology and innovation is sought by developing countries to support broad-based economic growth and critical concerns such as food security, education, public health, and global climate change.

To address these needs USAID is elevating the role of science, technology and innovation in shaping development strategies. We seek to identify and facilitate science, technology and innovation initiatives to better advance the Agency's mission. Partnerships with the private sector are fundamental to successful utilization of high-risk, high-payoff approaches. Special emphasis will be placed on bridging the gap between new discoveries and sustainable, scalable impacts in the developing world.

Potential partners for USAID may use this APS to submit proposals for alliances that address development-focused scientific research, improved monitoring and evaluation, new technology adoption approaches, or other entrepreneurial approaches that demonstrate how science, technology and innovation can have a significant impact on a particular "grand development challenge."

Innovation

Innovations that have the potential to create dramatic development benefits for millions of lives come from great ideas which are conceptualized, developed, refined to meet real-world operational challenges, tested, and ultimately scaled up to change the world in fundamental ways. While USAID may issue additional specific solicitations in FY2011 for innovative approaches to particular development challenges, this APS provides another avenue for diverse innovators from academia, the private sector, and NGOs to begin engaging with Missions and WOUs around creative approaches to tackling major development challenges.

Other Agency Priorities

USAID is in the process of developing Agency strategies in both **Education** and **Water** sectors. Information on these strategies, when developed, can be found on the Agency's website at www.usaid.gov.

In addition to the priority areas listed above, offerors may also propose alliances addressing significant development challenges in the sectors listed below:

- A) **ANTI-CORRUPTION/ DEMOCRACY AND GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- B) **HUMANITARIAN ASSISTANCE**
- C) **DISASTER PREPAREDNESS, RESPONSE AND RECOVERY**
- D) **ECONOMIC POLICY AND TRADE AND REGULATORY REFORM**
- E) **INFORMATION TECHNOLOGY**

F) ENTREPRENEURSHIP AND MICROENTERPRISE
G) EDUCATION AND YOUTH

For more information on these sectors and programmatic activities where USAID seeks to develop public-private alliances, please visit <http://www.usaid.gov/our work/>

II. PURPOSE OF APS AND QUALIFYING CRITERIA FOR PROSPECTIVE ALLIANCES

Alliances are expected to bring significant new resources, ideas, technologies and/or partners to address development problems in countries where USAID works. The Agency is particularly interested in innovative public-private partnerships that address development challenges in new ways, leveraging the resources of new types of partners in replicable, sustainable and scalable ways. The offeror must establish how the interests and objectives of each partner converge. The most sustainable and successful GDAs are grounded at the intersection between a business's core interests (rather than a purely philanthropic focus) and one or more of USAID's development objectives. Alliance activities at the country level that incorporate local businesses and entrepreneurs as partners and/or beneficiaries in design and implementation of an alliance are most likely to be successful and sustainable. Local ownership, leadership and beneficiary participation are keys to success.

This APS seeks public-private alliance proposals for funding through Sept. 30, 2011, although the activities of alliance can and should continue beyond this period. Concept papers and/or proposals received during the stated period, but unable to be negotiated and awarded prior to September 30, 2011 may be considered for award in FY2012. USAID will review alliance proposals using a two-stage process more fully described in Sections [III](#) and [IV](#).

USAID reserves the right to make multiple grants, cooperative agreements, collaboration agreements or no awards at all through this APS. Partial credit guarantees under the Development Credit Authority (DCA) may or may not also be extended to qualifying financial institutions. The actual number of assistance awards, if any, under this APS is subject to the availability of funds and the interests and requirements of Missions/WOUs as well as the viability of proposals received. Individual Missions may opt to not participate in this worldwide APS. **Please refer to www.usaid.gov/policy/ads/300/303.pdf for governing regulations, standard provisions, and required certifications that will need to be submitted by applicants at the time of award.**

Missions and WOUs may issue separate solicitations for their alliance building activities, or Addendum that use this APS as a platform for generating proposals for alliances. To determine specific Mission or WOU interests in alliances, potential applicants are encouraged to review Mission and WOU strategic objectives by visiting their respective web sites, which can be reached at <http://www.usaid.gov/locations/>, and to contact Missions/WOUs regarding a specific partnership concept and whether or not it is appropriate in a particular case to use this GDA APS or another vehicle to pursue an

alliance. In addition, DCA credit guarantees may be developed independently of this APS.³ See Annex A for a list of Mission/WOU Points of Contact (POCs). **Applicants should first submit a concept paper directly to the Mission or Washington Operating Unit that is most relevant to the proposed alliance for feedback and guidance on whether to submit a full proposal.**

NOTE: The GDA APS is not funded. Funding and other resources for an alliance must be provided by the non-USAID partners that are party to a proposal and by the relevant USAID Mission or WOU. Consultation with a Mission or WOU prior to submission of a concept paper under this APS helps ensure there is substantive and resource support for the proposed alliance from USAID before the offeror invests significant time and resources in development of an alliance. USAID may also amend this APS from time to time, as necessary or appropriate. Any such amendments can be found on www.grants.gov.

To be considered for an award under this APS, each applicant should meet the following qualifying criteria:

A. Partner Eligibility Criteria

This APS seeks to focus potential public-private alliances on significant development challenges that are high priorities for USAID and its development partners and where, by combining resources of the public and private sectors, far-reaching and sustainable impact in addressing such challenges can be achieved. In addition, this APS seeks to expand and diversify the pool of partners USAID collaborates with both as resource and implementing partners. Under this APS, there is no pre-defined minimum or maximum number of partners or partnerships, if any, USAID Missions and WOUs will support through this APS.

It is important to note that NGOs do not need to be registered with USAID as Private Voluntary Organizations in order to submit an application under this APS. **Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under assistance instruments. Forgone profit does not qualify as cost-sharing or leveraging.**

Prospective partners must be organizations with a reputation for integrity and the highest standard of conduct plus a proven track record in their particular areas of expertise. They should demonstrate a respect for human rights, gender sensitivity, inclusion of people with disabilities and other vulnerable groups, decent work conditions, environmental consciousness, and community involvement in their operational practices. They should also provide evidence of a strong commitment to the proposed alliance and experience in working in partnership with others.

Past applicants are welcome to apply. Alliance partners that were funded under previous GDA APSs and RFAs are also eligible to apply. Since applications are accepted on a

³ http://www.usaid.gov/our_work/economic_growth_and_trade/development_credit/index.html

rolling basis and each Mission/WOU will be utilizing its own funding and resources for the partnership, there is no pre-set limit as to amounts and number of GDAs that USAID may enter into under this APS.

B. Guidelines on Developing Partnerships for USAID

To be considered for funding under this APS, proposed alliances must demonstrate good partnership principles as outlined below:

1. Have clearly-defined objectives agreed to by all partners.
2. Mobilize significant new, non-public resources – whether money, technologies, or expertise – to address significant international development challenges (see [Leverage](#) criteria).
3. Operate in a country where USAID has a field Mission and must address one or more strategic objective of a Mission and/or WOU. However, a non-presence country alliance or multi-country alliance that addresses significant, high priority development issues may be proposed for a country where USAID does not have a field Mission. For proposed alliances in non-presence countries, applicants should consult with the Washington bureau or regional Mission responsible for that country.
4. Contribute to one or more of USAID’s high priority initiatives (FtF, GCC, GHI) or to other Agency priorities set forth in I.B.
5. Be reasonably expected to achieve significant development impact directly and attributably through the alliance, as measured by, for example, the number of jobs created, number of people given access to products, services, technology, etc., or amount invested by the private sector in public goods.
6. Be feasible from a technical, economic, financial, and social perspective.

It is expected that the programs supported by a proposed alliance will last from 12 to 60 months. *USAID will not provide funds under this APS for products and services that would be purchased through a contract.*

C. Leverage⁴

GDA alliances are expected to bring significant new, non-public resources – whether money, ideas, technologies, experience or expertise – to address international development problems. **To qualify for USAID funding under this APS, an alliance must demonstrate that partners are able and willing to collectively contribute significant resources to the proposed program that are at least equal to the level of resources**

⁴ Leverage describes the quantifiable contributions provided by resource partners to a GDA. Unlike cost sharing or matching, which is an important element of the USAID/grantee relationship, leverage is not intended to be binding or auditable. Rather, leverage emphasizes strategic value or contribution coming from the resource partner(s) as opposed to auditable inputs. Applicants should be prepared to identify what enhanced results are expected from any leverage proposed.

sought from USAID: 1:1 leveraging is a minimum condition for applications/proposals under this APS⁵. Additionally:

- Consistent with the basic precepts of the GDA, it is expected that all leveraging will come from private resources. However, we recognize that there are certain cases where Public International Organizations (PIO) and other public resources might make a critical contribution to the alliance as leverage. In those cases, we might acknowledge those contributions as helping to meet an overall 1:1 leverage as long as the quantitative emphasis of the leverage is the private sector resource contribution.
- Generally, a minimum of 25% of the leverage from the resource partners should be in the form of cash.

Proposed alliances are generally more competitive when the resources from non-USAID sources have a clearly defined cash component. However, various types of in-kind contributions (considered leverage) can play an important role in providing critical resources for implementing alliances. Examples of in-kind contributions that USAID seeks under alliances include:

- Commodities⁶ such as drugs, foodstuffs or equipment
- Use of training or other purpose-specific facilities necessary to a program's implementation
- Value of time donated by technical consultants necessary to a project
- Value of salaries for staff dedicated to a project
- Innovative technology, communications and capital assets
- Intellectual property rights.

Further, it must be shown that these resources, in combination with the support sought from USAID, will provide the alliance with a comparative advantage (over not using an alliance) in achieving significant and sustainable impact on the targeted development challenge. In addition, proposals should articulate the unique contributions that resource partners bring to the project that will help produce significant development results better, faster, and/or more cost effectively, and with a greater chance of long-term sustainability.

III. APPLICATION INSTRUCTIONS, REVIEW PROCESS, AND EVALUATION CRITERIA

A. Overview of the Application Process

Step 1: Consult with Mission or WOU POC regarding proposed alliance

Step 2: Submit Concept Paper to Mission or WOU for review and approval with an email copy to gda@usaid.gov

⁵ Other solicitations may have different leverage requirements. Note also that an alliance implemented through a DCA partial credit guarantee is developed differently: a typical arrangement is a 50%/50% risk-sharing guarantee of collection.

⁶ Note that this APS should not be used to solicit funds for transportation of donated commodities.

Step 3: If and as requested by the Mission/WOU, submit Full Application with an email copy to gda@usaid.gov

All decisions concerning concept papers submitted under this APS are made by the relevant Mission or WOU. Please do not send original concept papers to ODP/PSA if the proposed alliance relates to a Mission or other WOU. Please do not proceed with a full application without Mission or WOU concurrence.

Under this APS, USAID Missions and WOUs are responsible for the application review process and management of the award process (not ODP/PSA). Applicants are advised to consult with Missions/WOUs POCs (See Annex A) before beginning the formal application process under this APS. If the Mission/WOU indicates interest in the proposed alliance, the Mission/WOU will request the applicant to submit a short concept paper (see below for instructions) to the Mission/WOU. A copy of this concept paper should also be sent to ODP/PSA at gda@usaid.gov for tracking purposes only. After the Mission's/WOU's review and approval of the concept paper, it will advise the applicant as to whether or not to proceed with a full application. A Mission's/WOU's technical comments on the concept paper should guide the submission of the full application.

Applicants are reminded that applications that are closely aligned with the goals of a USAID Mission or WOU as well as feasible, innovative, and provide leveraged resources at a minimum one-to-one ratio (with a preference for some resources in cash) will be the most competitive in receiving positive consideration. For information about specific Mission and operating unit goals and objectives you may consult: <http://www.usaid.gov/policy/budget/cbj2010/>

For contact information by Mission, please see [Annex A](#). It should be noted that, for U.S. organizations, 22 CFR 226, OMB Circulars and USAID Standard Provisions are applicable to any grants that may result from this APS. For non-U.S. organizations, Mandatory Standard Provisions mentioned in USAID's Automated Directive System (ADS) 303 are applicable. For a proposal including a partial credit guarantee, see also http://www.usaid.gov/our_work/economic_growth_and_trade/development_credit/index.html.

Although the Private Sector Alliances Division within the Office of Development Partners is responsible for this APS, **questions related to specific program activities should be directed to the targeted Mission or WOU**. Only technical questions concerning the GDA definition and application process under this APS should be submitted to Mr. Todd Kirkbride at the contact information below. A summary of frequently asked questions is included in [Annex C](#).

Todd Kirkbride
Email: tkirkbride@usaid.gov
Phone: (202) 712-1747

Issuance of this APS does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application. Some Missions or WOUs may opt not to participate in this APS. Please consult with the point of contact for the relevant Mission or WOU provided in [Annex A](#) to determine whether or not there is interest in the proposed alliance and whether the Mission/WOU is able to provide funds or other resources toward the alliance.

There is no minimum or maximum financial contribution that may be sought from USAID under this APS. For reference purposes only, past awards have ranged from \$50,000 to \$10,000,000.

B. Networking

In general, networking between a USAID Mission/WOU and potential partners to discuss ways in which the Mission/WOU and potential partners might work collaboratively are permissible (and encouraged) and are acceptable business practices under USAID's rules and policies governing competition. Missions/WOUs must consider potential conflicts of interest when conducting networking discussions prior to the issuance of a program specific APS/RFA/RFP.

A common challenge in pursuing alliance opportunities is that the final form of an alliance is often unclear in the earlier stages. The process of creating an alliance often requires several discussions among potential partners to determine if there is a real opportunity for an alliance. In the event that networking leads to a concept paper or application for assistance, the concept paper or application may be submitted under, and in accordance with, the procedures provided in this APS. The application and award therefore should not require a justification to waive competition when this APS is used to pursue the alliance with USAID.

C. Concept Paper Instructions

Concept Papers may be submitted throughout the fiscal year (through September 30, 2011), although it is highly recommended that applicants submit concept papers as early as possible in the fiscal year. Early submission will allow adequate time for a Mission/WOU to consider these concepts for possible funding during the fiscal year. Note that concept papers, if received before September 30, 2011, may also be considered for funding in FY2012.

All Concept Papers must contain the items below, including the attachments, where requested, and should not exceed 5 pages in total (standard margins, 12pt font).

The concept paper shall include:

Cover Page/Introduction:

1. Include the Solicitation Number (APS No: M/OAA/GRO/EGAS – 11-002011) from this solicitation;
2. Identify the Mission(s) receiving the concept paper, as well as the individual(s) at the Mission(s) who received the paper;
3. Name and address of organization;
4. Type of organization (e.g., for-profit, non-profit, university, etc.);
5. Contact point (lead contact name; relevant telephone, and e-mail information). Regional or multi-country applications should provide the name and contact details of at least one local partner for each country targeted in the program;
6. Names of other organizations (federal and non-federal as well as any other USAID offices) to whom you are/have submitted the application and/or are funding the proposed activity; and
7. Signature of authorized representative of the applicant.

Technical Information:

1. Concise title, objective and description of proposed activity;
2. Discussion of the objectives, the method of approach, the anticipated results, and how the work will help address a significant development challenge and accomplish a field Mission or WOU's specific strategic objectives for that development challenge within a defined timeframe;
3. Roles, level of effort responsibilities and contributions of the prospective partner organization(s);
4. Brief discussion of how the key activity will be sustainable without continued USAID funding after the GDA program ends; and
5. Type of support and amounts the applicant requests from USAID (e.g., funds, facilities, equipment, materials, personnel resources, etc.).

Supporting Information:

1. Proposed estimated cost;
2. Brief cost breakdown (e.g., salaries, travel, etc.), with proposed budget and projections
3. Proposed amount of the applicant's financial as well as in-kind participation (clearly identify which resources are cash and which are in-kind and provide information on the nature of the in-kind contributions);
4. Proposed amount of leverage from prospective partners, both cash as well as in-kind;
5. Proposed duration of the GDA activity; and
6. Brief description of applicant's, as well as prospective or existing partner's (or partners'), previous work and experience.

All concept papers must be in English and submitted electronically via email per the Mission's/WOU's instructions.

D. Evaluation Criteria for Concept Paper

USAID's review of a concept papers will first ascertain whether the proposed alliance meet the criteria for a GDA. These are:

- Jointly defined problems and solutions among all partners including USAID
- Shared resources, risks and responsibilities
- Fosters new innovative approaches to partnerships
- At least 1:1 leverage of cash, expertise, systems, networks and/or other resources
- Significant and sustainable development impact over the long-term

Specific additional criteria a Mission/WOU will evaluate include (in descending order of priority):

- 1) Alignment with Mission/WOU's strategic objectives. – Does the proposed activity align with the targeted Mission/WOU's strategic plan?
- 2) Feasibility (technical, economic, financial, and social)
 - a) Does the alliance have well-defined and achievable objectives?
 - b) Does the alliance have the potential to yield significant impact on a specific significant development challenge?
 - c) Sustainability, including the extent of involvement of local partners and/or beneficiaries [Should this be a separate numerical item?]
- 3) Value of leveraged resources and/or cost-share
 - a) Above one-to-one leveraging or cost-share
 - b) Demonstrated resource partner commitment: Is there evidence of commitment of resources by a lead partner? Of commitment of resources by other partners? Is there a demonstrated commitment by partners to meet the requirements for leverage?
- 4) Innovation -- does the proposed alliance concept present an innovative approach to addressing a significant development challenge that is replicable and/or scalable?

Additional criteria that will be considered are (in descending order of priority):

- 5) Partner Characteristics
 - a) Does the alliance bring new development actors into a partnership with USAID?
 - b) Do the potential alliance partners have a reputation for ethical behavior in the international context?
 - c) Do the potential alliance partners have proven track records in their respective area of expertise?
 - d) Do the potential alliance partners have experience working in partnership with others?
- 6) Demonstration effect/scalability
- 7) Readiness of the underlying project/program for implementation
- 8) Development impact on men and women, disaggregated by gender
- 9) Past performance by the proposed alliance partners

The cognizant USAID Mission/WOU's Point of Contact or his/her designee will review the concept paper using the criteria above and notify the applicant within 60 calendar

days after receipt of the concept paper as to whether or not there is interest in pursuing the alliance described in the concept paper, with copy to ODP/PSA. If the Mission/WOU makes a positive determination regarding the concept paper, **the Agreement Officer for the specific Mission/WOU will provide the necessary additional instructions, technical requirements and specific evaluation criteria for a full application, should one be requested.**

E. Full Application Instructions

Missions/WOUs are the relevant authority to invite applicants to submit a full application based on a favorable review of the applicant's concept paper. **The instructions below are illustrative** since it is the Agreement Officer for the Mission/WOU that will provide specific requirements and instructions for the full proposal.

The length of the technical application should not exceed the following page limits:

- Budget Information (Standard Form SF-424 and supporting narrative; see <http://www07.grants.gov/techlib/SF424-V2.0.pdf>): No limit
- Cover page (including details from concept paper)
- Executive Summary: 2 pages
- Body of Application: 25 pages
- All Attachments: 15 pages

The body of the application should include the following information:

1. Table of Contents listing all page numbers and attachments
2. Executive Summary
3. Program Description
4. Goal and Objectives
5. Background/Problem Statement
6. Explanation of partners and their expected roles, including partner and other resources brought to bear (leverage)
7. Proposed Interventions/Technical Approach
8. Expected Impact
9. Duration of Activity
10. Detailed sustainability plan clearly demonstrating how activities will continue in the long term without USAID support when the GDA program ends.
11. Proposed role within the alliance for USAID (e.g., facilities, equipment, material, or personnel resources)
12. Detailed budget and financial plan with major line items, identification of funding source (i.e., by partner) for each, and a narrative description of what the resources will be used for.
13. Statement outlining gender and disability integration issues and how the applicant proposes to address the issues.
14. Relevant organizational experiences of recipient and key partner organizations.
15. Implementation Schedule
16. Key staff

In addition to the narrative described above, the application should include as attachments:

- A letter of intent from each resource partner
- A draft Memorandum of Understanding, which describes roles, responsibilities and contributions of each alliance partner, including USAID
- Curriculum vitae for key staff

The annexes may also include relevant information about proposed alliance partners. This can include documentation of intent to participate by other partners. **Please note excessive documentation submitted under the annexes is neither necessary nor viewed favorably.**

All applications must be in English and submitted electronically via email as instructed by the USAID Agreement Officer.

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

IV. AWARDING OF ALLIANCES

A. Due Diligence Regarding Potential USAID Partners

In order to guard the reputation of the U.S. Government, USAID only enters into alliances with organizations and individuals who exhibit fiscal responsibility, character, and integrity. In order to make this determination regarding potential partners, USAID undertakes due diligence. The extent of and approach to the due diligence will vary depending on the context and the potential partners. For example, a prospective alliance with a locally-owned private company in a developing country is likely to be quite different from one with a major multinational corporation. Applicants under this APS should conduct their own due diligence on proposed partners and are welcome to provide to USAID any information regarding proposed partners deemed useful for USAID's due diligence related deliberations. USAID may request any partners proposed for an alliance under this APS to respond to any issues/concerns that arise during USAID's due diligence review. Failure to respond to or resolve serious concerns that arise during the due diligence process will be cause for non-award.⁷ For reference purposes, USAID's guidelines for conducting due diligence can be found at:

http://exdevelopment.usaid.gov/our_work/global_partnerships/gda/due_diligence.html

B. Memorandum of Understanding (MOU)

Upon favorable review of the full proposal, partners (including USAID) may discuss and finalize a Memorandum of Understanding (MOU), typically non-binding, which will be used to clarify roles and responsibilities of each alliance partner. *The Mission or WOU*

⁷ In addition, any USAID partial credit guarantee to be issued in connection with an alliance will require risk review and Credit Review Board approval under USAID's Development Credit Authority practices. http://www.usaid.gov/our_work/economic_growth_and_trade/development_credit/index.html

will determine whether a MOU does or does not need to be in place prior to a grant award being issued by USAID.

http://exdevelopment.usaid.gov/our_work/global_partnerships/gda/mou.html

C. Roles of Partners

The division of responsibilities and risks among the alliance partners is intended to be covered under the Letter of Intent/Memorandum of Understanding prior to finalizing any award or agreement. Therefore, the following illustrative list of examples of allocation of responsibilities among alliance partners may be adjusted based on the final terms of the grant award, the best use of contributions from multiple partners, and the appropriate assignment of management and implementation responsibilities. Thus it is possible that USAID's role under some alliances may differ from the traditional role of provider of funds or source of oversight.

1. Example of USAID Responsibilities

Examples of USAID responsibilities are as follows. The specifically delegated technical officer might determine that USAID will:

- a) Collaborate in establishing annual objectives for the alliance and in establishing and approving an annual work plan;
- b) Collaborate in assessing progress and identifying and resolving issues that arise which may adversely affect the success of the program to which the alliance is targeted;
- c) Approve partners' key personnel and any subsequent changes in such positions during the life of the award;
- d) Participate on advisory boards and/or management committees for the alliance;
- e) Collaborate in the preparation of technical documents/publications; and
- f) Identify and facilitate linkages to other USAID programs.

2. Example of Resource Partner Responsibilities

Examples of a Resource Partner's responsibilities may include:

- a) Participation on a management committee/advisory board overseeing the alliance;
- b) Collaboration in establishing annual objectives for the alliance and the annual work plan for the implementing partner;
- c) Collaboration in assessing progress and identifying and resolving issues that arise which may adversely affect the success of the program to which the alliance is targeted;
- d) Application of technical skills, knowledge, products or services to the program to which the alliance is targeted.

3. Example of Implementing Partner Responsibilities

The implementing partner(s) for the program that is the subject of the alliance will operate in accordance with the terms and conditions of the grant, cooperative agreement or the collaboration agreement, the Letter of Intent/Memorandum of Understanding agreed upon by all alliance partners and all other applicable USAID regulations. The implementing partner(s) will likely be responsible for the following activities and documentation during the life of the program that is the subject of the alliance:

- a) Requesting approval for alliance's key personnel;
- b) Working with the alliance's partners to develop annual work plans;
- c) Conducting ongoing assessment of progress of the program and alliance as well as a final evaluation, and submitting annual written reports to USAID in accordance with the terms of the award;
- d) Reporting on contributions of all alliance partners (leverage);
- e) Ensuring compliance of the program with USAID's branding requirements;
- f) Requesting approval from USAID and other partners for any changes to the program description;
- g) Submitting to USAID annually an updated Standard Form 424A (section D and E only); and
- h) Coordination of communication – both in terms of public outreach and between alliance partners.

D. Budget Negotiations

Following an application review by the technical committee, applicants will be advised if budget related discussions are to be initiated, additional information is required, or if a decision has been reached not to fund the application.

E. Award

It is intended that this APS will be used by Missions and WOUs to provide for full and open competition for any proposed alliance involving grants, cooperative agreements, Leader with Associate Awards or Collaboration Agreements that are responsive to the terms herein, and to allow for the submission of alliance proposals that may include DCA partial credit guarantees. *Note that this APS does not satisfy the requirements for competition for procurement of goods and services through acquisition instruments.*

Following favorable negotiations with USAID, USAID may award a grant (including Leader with Associates), cooperative agreement or a collaboration agreement to the institution proposing the alliance or to a third entity that was proposed to implement a jointly funded alliance. See USAID ADS 303 www.usaid.gov/policy/ads/300/303.pdf. Any proposed DCA partial credit guarantees may be submitted for approval and funding under USAID's Development Credit Authority.⁸

⁸ See USAID ADS 249 www.usaid.gov/policy/ads/200/249.pdf.

F. Reporting

The requirements for reporting on the alliance and the underlying program activities will be determined in a collaborative manner among the alliance partners and should be outlined in the Memorandum of Understanding. An annual performance monitoring plan, using established baseline data and specific, measurable targets and indicators, will also be agreed to by the alliance partners and should be documented in the MOU.

Requirements for financial and other reporting may also be imposed in Assistance Agreements executed with USAID.

V. ANNEXES

[ANNEX A – MISSION/WOU POINTS OF CONTACTS](#)

[ANNEX B – ACQUISITION AND ASSISTANCE POLICY DIRECTIVE](#)

[ANNEX C – FREQUENTLY ASKED QUESTIONS](#)

[ANNEX D - REFERENCES](#)

ANNEX A

USAID MISSION AND WASHINGTON OPERATING UNIT POINTS OF CONTACT

Before submitting a concept paper under this APS, we encourage applicants to contact the designated POC at the relevant USAID Mission, regional alliance builder and/or WOU either by phone, email, fax, or in person. The Mission and/or WOU will advise you regarding whether your proposed alliance is appropriate to the country, of interest to the Mission, and aligned with USAID priority areas and goals for the country. Below is a link to a list of USAID GDA points of contact and their email addresses.

If after checking the contact list you are still unsure of the appropriate person at a USAID Mission or WOU, please contact Mr. Todd Kirkbride by e-mail at tkirkbride@usaid.gov.

MISSION/WASHINGTON CONTACT INFORMATION:

http://www.usaid.gov/our_work/global_partnerships/gda/resources/GDAMissionandBureauPOCs.pdf

ANNEX B

ACQUISITION AND ASSISTANCE POLICY DIRECTIVE

AAPD 04-16

ISSUED: DECEMBER 30, 2004

1. PURPOSE:

This AAPD provides step-by-step guidance for the formation of Global Development Alliances (GDAs), including:

- Step one, **Finding a Partner:** Competition; Public Notice and Advertising Requirements; Appropriate Outreach Efforts (Other than “Discussions or Negotiations”)
- Step two, **Reaching Agreement:** Responsibility Determination and Due Diligence; Cost Share/Match versus Leveraging; and use of MOUs
- Step three: **Funding of GDAs:** contracts, grants and the introduction of the new Collaboration Agreement (CbA)

2. BACKGROUND:

The Agency defines a GDA alliance as a public private agreement (PPA) with shared responsibility, joint planning and decision making, new partners and new approaches, shared credit, and an equal or greater ratio of partner funds to USG funds. The Global Development Alliance (GDA) initiative, announced in 2001, actively promotes strategic alliances between USAID and private and public sector partners as a business model for achieving United States Government (USG) development assistance objectives. GDA agreements direct some of the rapidly expanding stream of private funding USAID targets as parallel programs, maximizing the impact of both and affording each partner the chance to bring its comparative advantage to bear on development problems of common interest and concern.

An assessment of the GDA business model as it has developed over the past several years at USAID was undertaken in early 2004. The assessment found that the GDA business model is alive and working in all regions of the world and is evolving into an increasingly important developmental methodology with huge potential. The assessment also found that it will take time and effort to realize this potential, and recommends that USAID provide additional guidance and flexibility in entering into alliances. The assessment further recommends entering into alliances that evolve beyond corporate or enterprise ‘social responsibility’ and engages alliance partners’ core businesses or missions.

This guidance is intended to provide additional clarity on the steps to creating successful alliances and flexibility to USAID operating units to enter into PPAs/GDAs while ensuring that the following four key characteristics, known as the **Alliance Precepts**, are present in successful alliances:

- Joint definition of the development goal and the means to achieve it by all development partners in the alliance

- Agreement between the PPA partners to share resources and risks and to collaborate on results in pursuit of an objective that can be better obtained with a joint effort
- Looking toward new partners (or existing partners in new ways) for innovative approaches
- Leveraging significant resources that may include financial resources, in-kind contributions and intellectual property

As you consider these precepts and the guidance below, please keep in mind that Public Private Alliances ARE NOT procurements, they are partnerships. To this end, there are many kinds of GDAs that do not involve obligation of USAID funds to a second party for the benefit of a third party (the aid recipients), such as partnership MOUs. This example is emphasized in order to demonstrate both the scope and flexibility of GDA agreements.

3. GUIDANCE ON ALLIANCES:

The guidance attached at attachments 1, 2 and 3 sets forth step-by-step considerations in reaching a GDA agreement: from competition requirements and advertising and outreach, to reaching agreement on the goals and methods, and finally, formal formation of alliances. While USAID grants and cooperative agreements are appropriately and routinely used (and the contract mechanism remains available), there are some circumstances when the relationship between USAID and another resource partner may be better supported through an alternative alliance agreement. Therefore, this guidance also introduces a new mechanism for formal formation, the Collaboration Agreement (CbA). The CbA is appropriate when:

- A Non-Traditional Partner⁹ will be receiving USAID funds directly,
- The proposed alliance is within the GDA precepts, above and the alliance program is deemed appropriate under the terms of the Annual Program Statement (APS) or Request for Application (RFA),
- There is a compelling reason for the government and non-government funding resources to be jointly programmed, and
- Other funding/implementing mechanisms have been considered and rejected as unfeasible or inappropriate

4. ATTACHMENTS:¹⁰

Please refer to USAID website at

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_16.pdf for the below listed attachments.

⁹ A non-traditional partner is a private organization offering resources at a leveraged ratio in excess of one to one, whose principal business purpose is other than foreign development assistance or whose development assistance purpose was recently established, and who has not routinely received federal funding under traditional grants and cooperative agreements.

¹⁰ Please refer to the following web site for the full text of the policy directive to view the attachments: http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_16.pdf

Attachment 1. Step one, Finding a Partner

Section I. Guidance Regarding Competition, Public Notice & Advertising Requirements for PPAs.

Section II. Guidance Regarding Outreach Efforts

Attachment 2. Step two, Reaching Agreement

Section I. Responsibility and Due Diligence

Section II. Cost Share/Match vs. Leveraging

Section III. Memorandums of Understanding (MOU)

Attachment 3. Step three, Funding the Agreement, including guidance regarding the Collaboration Agreement (CbA).

ANNEX C

FREQUENTLY ASKED QUESTIONS

Dates and Deadlines

1. Where do we submit our concept paper and the full application?

Interested applicants are required to submit short concept papers to **Missions and WOUs** (i.e. regional bureaus, pillar bureaus, offices) and will receive instructions on whether or not to proceed with a full application. Upon invitation, full applications will also be sent to the same USAID Missions or operating units for review and potential funding. See the APS for detailed instructions.

2. Is there a deadline for concept papers?

USAID will consider alliance concept papers as they arrive. However, resources are limited and we expect a significant number of submissions. No funds are set aside waiting for GDAs to be developed. The earlier a concept paper is received the greater the chance that funding might be available. The APS is issued annually and is open from date of release in 2010 until September 30, 2011.

3. When will USAID resources become available and over what period will disbursements occur?

For Mission or WOU funding, it is anticipated that the funds may become available in late spring, depending on the timing of appropriations by the US Congress and time needed to negotiate the assistance award. USAID expects that funded programs may last from 12 to 60 months.

4. Will USAID funding be available exclusively during 2011 or will it be disbursed over the timeline established for the project?

If an application is accepted, USAID will make an award to the entity proposing the alliance. The agreement officer negotiating the terms of the grant or cooperative agreement will determine with the grantee the appropriate timing for disbursement of funds from USAID. Most of USAID's programs are incrementally funded on a year-by-year basis until the award is fully funded.

5. Does the alliance have to be finalized at the time of application?

The alliance between non-USAID partners does not have to be finalized at the time of application to USAID, but the level of partner commitment will be evaluated. As discussed in the APS, each application will be evaluated on whether the alliance brings new actors to the table with proven track records in their particular area of expertise and experience working in partnership with

others. In addition, the application should demonstrate the commitment of the partners and could include a draft letter of intent that describes the roles, responsibilities, and contributions of each of the alliance partners. You may also choose to ask your partners to submit documentation of their intent to participate in the alliance (letter of support). USAID recognizes that alliances may change over time.

6. Where do I submit a concept paper that is regional, involves more than one Mission or is in a non-presence country?

This depends on how many Missions would be involved and if all Missions are within a single region. In general, it is a good idea to submit individual concepts to Missions of interest, though for those truly regional or global in scope, you may want to submit to the appropriate Regional Mission responsible for the particular country or a WOU such as the relevant regional bureau.

The Role of USAID

7. Will USAID only allocate resources for the alliance or will it form a part of the alliance?

The intention of these alliances is to create a different relationship between the partners. USAID intends to enter into true partnerships with other resource partners in carrying out developmental objectives. USAID's role will vary from alliance to alliance. Please see the APS for an illustrative list of USAID and partner responsibilities.

8. Does USAID perform the monitoring and evaluation of the project?

As discussed above, USAID's role will vary from alliance to alliance. USAID may be an active member of the alliance governing structure, or USAID may administer the award through the reporting done by the recipient (quarterly, semi-annually, or annually). The agreement may also call for annual work plans to clarify timing and matters involved in the implementation schedule. There may also be midterm and final evaluations. All of the above will be negotiated in the final terms of the award and may be detailed in the MOU.

9. Is the agreement with USAID signed by all the members of the alliance or only with the lead partner?

Upon favorable review of the full applications, partners including USAID will determine the appropriateness of signing a non-binding memorandum of understanding (MOU) or other document to finalize the roles and responsibilities of each alliance partner. The proposed lead recipient of USAID funds is the signing party to the USAID award agreement.

Funding

10. Does the Office of Development Partners/Private Sector Alliances Division have funding for GDAs or does it come from USAID Missions or WOUs?

The PSA Office no longer has an incentive fund to assist Missions with GDAs. Funding and implementation of partnerships comes directly from USAID Missions or WOUs.

11. Are loans considered matching funding?

Consistent with the treatment of this issue in previous years, loans will **not** be counted as leverage under the FY2011 GDA APS. However, if an application includes a loan, the existence of the loan might increase the feasibility of achieving the intended results of the alliance and therefore might be more likely to win an award over an application which did not have a loan. Additionally, an alliance with a loan might be evaluated to have better scalability.

12. Alliances seek to leverage private resources. Can public resources be included in Alliances? Can they ever be counted as leverage?

Consistent with the basic precepts of the GDA, it is expected that all leveraging will come from private resources. However, we recognize that there are certain cases where PIO (e.g., the World Bank, or the UK Department for International Development), and other public resources might make a critical contribution to the alliance as leverage. In those cases, we might acknowledge those contributions as helping to meet an overall 1:1 leverage as long as the quantitative emphasis of the leverage is the private sector resource contribution. Generally, a minimum of 25% of the leverage from the resource partners should be in the form of cash.

13. Can funds being counted as leverage towards the Public Private Partnership (GDA) component of a project also be counted as cost-share?

Ideally, all partnerships focus on bringing leverage (not cost-share) from the private sector resource partner. In certain cases where a partner is also obligated to meet a cost-share requirement and has brought funds towards the leverage requirement, these funds may be considered towards a cost share requirement, as appropriate and in consultation with the relevant Agreement Officer .

14. Do the financial contributions from private partners have to be entirely in cash, or can they also be in the form of services, equipment, vehicles, etc.?

In-kind resources such as services, property, equipment, and supplies are valuable contributions. Alliance proposals must clearly specify what each party is contributing and indicate the estimated cash value of in-kind support. In-kind contributions should also represent new resources available to and necessary for a

project. Alliances that offer quantifiable in-kind resources that a project would otherwise have to buy will be more competitive.

15. Does the cash contribution from alliance partners have to be made available at the beginning of the project or can the sums be allocated periodically if such a commitment is made among the partners?

The appropriate timing of contributions from partners should be decided among the alliance partners, and it is acceptable for partners to provide their funds periodically over the life of the project. However, to qualify as a GDA under this APS, over the life of the partnership, the value of the resources provided by private partners must at least match the value of the resources provided by public sector partners.

16. If you are doing a regional program with individual countries contributing to a program, does an organization have to meet the 1:1 leveraging in each country or in the total aggregate of the grant?

You only have to meet the total leveraging in the aggregate of the award. Therefore, an alliance might have greater than 1:1 matching in some countries and less than this match in others.

17. It is difficult to launch new partnerships in a one-year time period. Could implementation of a program be extended over a second year with FY11 awarded funds?

Yes. Awards made in FY11 may be implemented in FY12 and beyond. Any award under the FY11 APS can be for multiple years; awards under this APS can be made for up to 5 years.

Forms and Eligibility

18. How do I propose a regional program? If I have a proposal dealing with regional or cross-country ideas, where should I submit the initial concept paper?

Concept papers that are regional should be submitted to the regional points of contacts listed in [Annex A](#) of the GDA APS.

19. Could you please send me the grant forms for this funding opportunity?

The only forms not specifically included in the APS are the SF424, 424a, and 424b for which a web site reference was included in the APS:

http://www.grants.gov/agencies/aapproved_standard_forms.jsp.

All other items are to be supplied in a written manner in accordance with the instructions set forth in the APS.

20. Could you send me any related information that will help us to understand what is required for the APS?

The best source for general information on public-private alliances is the ODP/PSA webpage at USAID: <http://www.usaid.gov/gda> . Please review the APS and the GDA web site and then contact PSA with any specific questions you may have (see contact information provided in the APS).

21. We are a Land-Grant Institution; are we eligible to participate?

Your organization is eligible. Please refer to the Eligibility and Proposal Criteria as there are requirements that all applications must meet.

22. Can an organization submit more than one application for this APS announcement?

Yes. Please make sure that each application is consistent with the guidelines set out in the APS.

23. Which countries have Feed the Future, Global Health Initiative or Global Climate Change projects?

Please refer to the USAID website:

- <http://www.feedthefuture.gov/>
- <http://www.usaid.gov/ghi/>
- http://www.usaid.gov/our_work/environment/climate/index.html

24. The APS states that Missions and bureaus may issue solicitations for their own particular alliance-building activities. Where can I find information on Mission and bureau solicitations?

Some Missions will issue their own Addendum to the GDA APS which will be posted on the Mission website, grants.gov and the ODP/PSA website. For other USAID competitive grant solicitations please refer to USAID postings at <http://www.grants.gov> . Missions overseas and offices within USAID/ Washington post their competitive solicitations at that site.

25. In the proposal we are developing, one of the proposed private sector partners is a local firm. How are non-U.S. partners viewed?

Non-US organizations and companies can be alliance partners and can contribute resources to an alliance. If the non-US alliance partner is being proposed as a recipient of USAID funds and is located and operating in the country in which the proposed alliance will be implemented, that local firm is usually acceptable to be considered as a partner. Through consultations with the relevant USAID Mission, an applicant under this APS can confirm the eligibility of proposed alliance partners. If a non-U.S. partner is being proposed as a recipient of USAID funds for a program outside of its own country, then the appropriateness of the non-US partner will depend on the cognizant Mission for the program.

26. In the APS, are there any requirements regarding the use of volunteers to participate in our project?

No. USAID encourages the integration and utilization of highly skilled volunteers in program implementation. The Agency facilitates the use of skilled volunteers through a number of volunteer programs including: the John Ogonowski Farmer to Farmer Program; the Volunteers for Economic Growth Alliance (VEGA); the Volunteers for Prosperity Program (VFP), and the International Corporate Volunteer Program, which is an innovative, new partnership with IBM. USAID is keen to create partnerships with the private sector, foundations and NGOs that enable USAID to integrate volunteers more strategically and effectively into USAID programs. USAID hopes to leverage a much greater number of professionals, student and NGO volunteers in support of USAID partners globally, including NGOs, SMEs (small and medium enterprises), universities, municipalities, and government ministries.

27. Does this APS include people with disabilities or underserved communities? Should applicants address in their proposals how they will include this vulnerable population within their proposed program and activities?

Yes, USAID welcomes applications for alliances under this APS that demonstrate sustainable approaches to including people with disabilities or underserved communities in the Agency's assistance activities. This APS fully supports USAID's Disability Policy and policy directives which state that all of USAID funded programs will not discriminate against people with disabilities and will work to ensure the inclusion of people with disabilities in their program and activities. USAID is also very interested in partnerships that address development challenges facing women and girls, and youth generally. In addition, all new construction and major renovations to existing infrastructure that are funded by USAID must be made accessible for people with disabilities. For more information, refer to the USAID disability website at: http://www.usaid.gov/about_usaid/disability/ and http://www.usaid.gov/our_work/cross-cutting_programs/wid/

28. Can a corporation use this APS to enter into a partnership with USAID?

Yes. If the private sector entity is willing to provide new resources to address a specific, significant development challenge, then USAID can discuss if and how it might partner with the corporation to tackle the specified challenge. If the company already has a NGO/ implementing partner with which it wishes to work and the company is seeking funding for the implementing partner as part of the alliance concept, then it would be best for the corporation and the preferred implementing partner to jointly submit a concept paper under this APS.

ANNEX D

REFERENCES

A. Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- OMB Circular A-122
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads
http://www.grants.gov/agencies/aapproved_standard_forms.jsp
- ADS 249 – Development Credit Authority
- <http://www.usaid.gov/policy/ads/200/249.pdf>.