

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
OFFICE OF DEVELOPMENT PARTNERS/ PRIVATE SECTOR ALLIANCES
FY2010 GDA ANNUAL PROGRAM STATEMENT
APS No: M/OAA/GRO/EGAS – 10-000001
PUBLIC-PRIVATE ALLIANCES

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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
PPA	Public-Private Alliance
PVO	Private Voluntary Organization
RFA	Request for Application
USAID	United States Agency for International Development
WOU	Washington Operating Unit

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

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APS No: M/OAA/GRO/EGAS – 10-10-000001

PUBLIC-PRIVATE ALLIANCES

IN

- A) FOOD SECURITY AND AGRICULTURE**
- B) ANTI-CORRUPTION/ DEMOCRACY AND GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- C) HUMANITARIAN ASSISTANCE**
- D) DISASTER PREPAREDNESS, RESPONSE AND RECOVERY**
- E) ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- F) EDUCATION AND YOUTH**
- G) CLIMATE CHANGE, ENVIRONMENT AND ENERGY**
- H) HEALTH**
- I) INFORMATION TECHNOLOGY**
- J) URBAN PROGRAMS**
- K) WATER**

**Issuance Date: [January 5, 2010](#)
Closing Date: [September 30, 2010](#)
CFDA #: 98.001**

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

Ladies/Gentlemen:

USAID continues its commitment to more strategic alliances with the private sector in order to further increase sustainable development impact to advance global, peace, and prosperity . Our objective is not aimed necessarily at increasing the number of alliances. Rather we seek to increase the overall strategic value of our alliances for fostering sustainable development in the developing world.

The Obama administration has clearly articulated its commitment to partnership as a priority. 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."

The Secretary has also said, "I think it's a real opportunity for us if we can figure how best to better coordinate and facilitate the private sector and the not-for-profit and religious communities of the United States on behalf of humanitarian and commercial efforts."

The Office of Development Partners (ODP) of the United States Agency for International Development (USAID) invites interest from prospective partner organizations to form Global Development Alliances to carry out activities in support of USAID's international development objectives. Alliance partners are expected to bring significant new resources, ideas, technologies, and/or partners to address development problems and challenges in countries where USAID is currently working. Successful proposals will bring at least a 1:1 resource leveraging to focus on priority development activities within USAID's manageable interest. Proposals which involve corporate funding 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 Global Development Alliances, has cultivated more than 900 public-private alliances with over 1,700 individual partners to contribute billions in combined public-private resources. Through our Global Development Alliances, USAID can facilitate access to broader financing options, assist in skill and knowledge development, and apply its extensive knowledge of country environments to help reduce the risks of investing in some of the world's poorest countries. This solicitation is encouraging and creating the competitive environment for new alliances to be created in FY 2010.

I. BACKGROUND

USAID is committed to improving the way we implement our foreign assistance mandate through broader collaboration with others. 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, the higher education community, and even individuals (including remittances from immigrants), now provide a greater portion of the total resources that contribute to development. As a result, the U.S. Government recognizes an exciting opportunity to enhance the impact of development assistance by improving and extending its collaboration with other 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 Global Development Alliance (GDA) business model to extend this concept further by 1) increasing the range of prospective partners to include private businesses, 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 traditional partners, and how it seeks out 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

stimulate new investment and new development practices. USAID has much to offer with its unique mandate within the U.S. Government and long-term experience with, and access to, host-country governments. The Agency is able to capitalize on its extensive field presence and network of local development partners and technical expertises to catalyze, integrate, coordinate, and facilitate public-private alliances among development actors. USAID recognizes that effective alliances will focus on common interests and will require time and strategic planning. However, such alliances have the potential for not only mobilizing additional resources for development assistance programs worldwide but also promoting greater effectiveness of those programs and hence greater impact on the problems of poverty, disease, inadequate education, depletion of natural resources, 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 warming.

In developing partnerships congruent with the GDA business model, USAID uses the following precepts:

- 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 partnerships that address development challenges in new ways, leveraging the resources of non-traditional partners in replicable, sustainable and scalable ways.
- Alliances must initially establish how the interests and objectives of each party converge. The most sustainable and successful partnerships under the GDA model are grounded at the intersection between businesses core interests and USAID's development objective (rather than purely philanthropic activities).
- Alliances should demonstrate a minimum of a one-to-one leverage ratio of resources. **At least 25% of the leverage coming from the resource partner must be in the form of cash.** In addition to monetary contributions, in-kind resources such as services, property, volunteer time, equipment and supplies are also valuable contributions. Alliance proposals must clearly specify what each party is contributing and indicate the cash value of in-kind support. (See Section II C on Page 12 for a more complete discussion of leverage and in-kind contributions.)
- While alliance proposals must specify what each party is contributing at the outset, it is also recognized that lasting alliances are dynamic and changing.
- Alliances should not simply be matching grants nor should they be grants to organizations that have expressed an intention to seek third party partnerships that are not yet formed. The Global Development Alliance business model seeks relationships and resources beyond traditional assistance models.
- It is important to exercise due diligence before entering into alliance arrangements with partners. To protect the interests of all alliance partners, the offeror should

- There is no pre-defined minimum or maximum number of partners.
- Fairness and transparency are key principles in forming alliances. Exploration of possible alliances should take place in a transparent manner and should involve wide consultation with possible partners.
- Alliance activities at the country level that actively involve local leadership and local beneficiaries in design and implementation are most likely to be successful and sustainable. Local ownership, leadership and beneficiary participation are keys to success.
- All USAID-financed programs and activities must comply with USAID's environmental procedures set forth at 22 CFR 216.

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

Please also 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.

A. Highlights Regarding the Annual Program Statements in Public Private Alliances

For those applicants who have submitted alliance proposals previously, please note the following changes:

- Prospective alliances must seek agreement from the Mission or WOU before submitting a full application by preparing and submitting a concept paper to those units and gaining their concurrence to move forward to the application stage (see [Annex A](#) for Mission Points of Contact). **All funding decisions concerning concept papers submitted under this APS are made by the Mission or WOU, Do not send them to the Office of Development Partners if they relate to a Mission or other WOU.**
- **Applications are to be submitted directly to the Missions or WOUs.** Only upon receipt of positive Mission/WOU feedback is the applicant to put together a full application for Mission/WOU consideration. Concept Papers may be submitted throughout the fiscal year, though it is highly recommended that applicants submit concept papers as early as possible in the fiscal year. This will allow adequate time for Mission/WOU to consider these concepts. Note that concept papers, if received before September 30, 2010, may also be considered for funding in FY2011.

- A minimum non-USAID resource leverage of at least 1:1 is necessary for an application to be eligible for support under this APS. However, alliances that leverage a greater ratio of outside resources are preferred. The 1:1 is further defined as one half coming from USAID to at least the remaining half from all other partners collectively.
- It is strongly encouraged for any applicants wishing to submit concept papers to contact the Mission/WOU first to discuss the Mission's interest in the idea before additional time and resources might be invested in preparing a concept paper. Applicants should do sufficient independent research to be knowledgeable on Mission/WOU strategic objectives.
- This utilization of an initial concept paper approach in the solicitation is further intended to provide a window of opportunity for resource partners to discuss with USAID staff their mutual interests in working together to build alliances that are of a common cause. Similarly, the APS also provides a window for USAID staff to discuss possible alliances with potential resource partners to identify activities of mutual interests.
- 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. Sectors and Program Objectives

This Annual Program Statement (APS) seeks to support multiple activities that will be responsive to critical developmental needs and challenges with a particular interest in Agency priorities which are listed in Section D. 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. Note that this APS does not provide for competition needs for goods and services that may be procured under acquisition instruments.

C. Framework for U.S. Foreign Assistance

The Foreign Assistance Framework is an analytical tool aimed at targeting limited U.S. Government resources efficiently and effectively within countries and at the regional and global level. It categorizes each country receiving U.S. foreign assistance based on common traits and places them on a trajectory of progress with the ultimate intent of supporting recipient country efforts to move from a relationship defined by dependence on traditional foreign assistance to one defined by full sustaining partnership status. With this intent in mind, it focuses foreign assistance on maximizing country progress based on strategic priorities for country advancement rather than historical allowances. To this end, the framework:

- Defines the primary goal for United States Government Foreign Assistance, which is to help build and sustain democratic, well-governed states that respond to the needs of their people, reduce widespread poverty, and conduct themselves responsibly within the international system.

- Identifies the five strategic objectives (Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance) related to achieving that goal.
- Defines five broad country categories of similarly situated countries based largely on independently measured indicators of country progress.
- Helps identify which types of programs are best suited to help a country progress and focuses assistance on those most critical needs, based on the intersection of the objective and the country category.
- Provides a unified point of reference for USAID and State to bring their respective expertise to bear, eliminate redundancies, and create opportunities for amplification.

D. Agency Priorities

This APS supports the foreign assistance priorities of USAID and the U.S. Government. By pursuing opportunities to partner with USAID, development alliances can make important contributions to development and humanitarian objectives in vulnerable countries. This APS supports Agency priorities in food security and global climate change. Missions are addressing these priorities through programs in sectors such as economic growth, agriculture and dairy, water supply and sanitation and global climate change. It also seeks to strengthen civil society to promote transparent and accountable governance. There is a special emphasis on partnership opportunities that engage underserved populations and communities as primary beneficiaries.

Food Security and Economic Growth

Food security is a priority for the Agency. One billion people live in poverty and chronic hunger and this number appears to be rising. Sixty percent are rural, women-led small-scale food producers. Twenty percent are rural land-less laborers and twenty percent are urban dwellers. 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. This APS offers an important opportunity for new partnerships to increase cash income of women, improve nutritional status of women and children, and expand adoption of food production practices that conserve natural resources, such as soil, water, biodiversity and resilience to climate change.

Within this broader priority to improve food security and promote sustainable economic growth, selected Missions are focused on microenterprise development, water and sanitation, programs to promote dairy production, and global climate adaptation.

USAID Missions use this APS to enable new partners to contribute to microenterprise development, including strengthening financial services, the enabling environment, and

enterprise development (including specific focus on underserved populations and communities).

Sound water management and access to water and sanitation are critical to human development and community health. USAID’s strategy for the water sector reflects an integrated approach that emphasizes access to safe water supply and sanitation complemented by improved water resource management and productivity. Water resource management reflects the strengths and weaknesses of local, national and international governance systems and relations among countries that share water resources and are greatly influenced by water resource scarcity and consequent conflict. The APS allows Missions to engage new partners to strengthen watershed and river basin management and increase water productivity.

Global Climate Adaptation.

Increased temperatures, altered rainfall patterns, rising sea levels, melting glaciers, and more frequent extreme weather events are posing serious threats to developing countries. These impacts threaten development gains in health, economic growth and resource management and endanger stability by increasing poverty and the potential for conflict over scarce resources. Climate change adaptation activities aim to help households, communities, societies, and economies cope with these impacts. Adaptation activities also include consideration of changing climate conditions in the planning and implementation of development projects in areas like health, infrastructure, water, and agriculture, so that these projects are resilient to anticipated climatic changes.

The USG is committed to expanding its international climate change mitigation and adaptation efforts, including programs and assistance to fulfill USG commitments that result from the December 2009 UN Climate Change Conference in Copenhagen, and integrating climate change considerations throughout the USG development portfolio. In support of climate change adaptation, the APS can be used to submit concept papers in support of projects that make our development assistance “climate resilient” across all sectors. USAID will partner with those most capable of implementing policy reform, institutional modification and stakeholder involvement required for climate-resilient development.

The sectors listed below represent the areas that will be considered for award as USAID’s areas of primary interest for alliances:

- A) **FOOD SECURITY AND AGRICULTURE**
- B) **ANTI-CORRUPTION/ DEMOCRACY AND GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- C) **HUMANITARIAN ASSISTANCE**
- D) **DISASTER PREPAREDNESS, RESPONSE AND RECOVERY**
- E) **ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- F) **EDUCATION AND YOUTH**
- G) **CLIMATE CHANGE, ENVIRONMENT AND ENERGY**

- H) HEALTH
- I) INFORMATION TECHNOLOGY
- J) URBAN PROGRAMS
- K) WATER

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/](http://www.usaid.gov/our-work/)

II. PURPOSE OF APS AND QUALIFYING CRITERIA FOR PROSPECTIVE ALLIANCES

USAID reserves the right to make multiple grants, cooperative agreements, collaboration agreements or no awards at all through this APS. **This APS seeks public-private alliance proposals only for funding in Fiscal Year (FY) 2010, although proposals should contemplate an alliance that continues beyond FY 2010.** Concept papers and/or proposals received during FY2010, but unable to be negotiated and awarded prior to September 30, 2010 may be considered for award in FY2011. Applicants should first submit a Concept Paper directly to the Mission or WOU first for feedback and guidance on whether to submit a full proposal. Under this APS, USAID's Office of Development Partners solicits proposals from organizations that are interested to enter into public-private alliances with others, including USAID, to carry out activities that are responsive to critical development needs identified by Mission/operating unit in the countries and sectors where USAID seeks to develop alliances. USAID will review alliance proposals using a two-stage process more fully described in Sections [III](#) and [IV](#).

The actual number of awards under this APS is subject to the availability of funds and the interests and requirements of Missions/WOUs as well as viability of proposals received. Individual missions may opt to not participate in this worldwide APS. Missions and bureaus may issue solicitations for their particular alliance building activities, or they may also issue announcements (Addendum) that use this vehicle to consider applications for alliances. To determine specific Mission interests, potential applicants are encouraged to review mission strategic objectives by visiting respective web sites which can be reached at <http://www.usaid.gov/locations/>

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

A. Partner Eligibility Criteria

This Annual Program Statement focuses on establishing public-private alliances to define a need and its solution, and to combine resources to achieve far-reaching, mutually agreed upon results. **The following list of potential partners is for illustrative purposes only. We welcome other types of partners.** Potential partners include foundations, U.S. and non-U.S. NGOs, faith-based organizations, U.S. and non-U.S. private businesses, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, Diaspora groups, other donor governments, host country governments, regional organizations, host

country parastatals, philanthropic leaders including venture capitalists, public figures, advocacy groups, pension funds and employee-welfare plans, etc.

It is important to note that NGOs do not need to be registered Private Voluntary Organizations to submit an application. **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, integration 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 public private alliance APS's and RFA's are also eligible to apply.

B. Program Eligibility Criteria

To be considered for funding under this APS, proposed programs must meet the following requirements:

1. Alliance proposals must have clearly-defined objectives agreed to by all partners.
2. Alliance proposals will to demonstrate significant new, non-public resources – whether money, ideas, technologies, experience or expertise – to address international development problems (see [Leverage](#) criteria).
3. Alliances must operate in countries where USAID has field missions and must fit within the strategic objectives of these missions and/or the appropriate WOU. However, broad, multi-country alliances that address priority development issues may operate in countries where USAID does not have a field mission.
4. Alliance proposals must contribute to one or more of USAID's high priority sectoral and programmatic objectives.
5. Alliance proposals must be reasonably expected to achieve significant development impact, as measured, for example, by the number of direct and indirect beneficiaries of the program, sustainability by the creation of activities able to continue after the end of the project without USAID funding, and/or by the potential for replication or scaling-up over time.
6. Alliance proposals must be feasible from a technical, economic, financial, and social perspective.

It is expected that programs may last from 12 to 60 months. Priority will be given to proposals that can be launched rapidly. USAID will not provide funds under this APS for products and services that would be purchased through a contract.

C. Leverage¹

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 sought from USAID: A minimum 1:1 leveraging is a minimum condition for concept/proposal consideration.** At least 25% of the leveraging should be in cash.

Alliances in which non-USAID resources leveraged have a more clearly defined cash component are generally more competitive. However, various types of in-kind contributions can play an important role in funding alliances. Examples of in-kind contributions that USAID seeks under alliances include:

- Commodities² such as drugs, food stuffs 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.

Further, it must be shown that these resources, in combination with the support sought from USAID, will provide the alliance with a comparative advantage in meeting the goals and objectives of the proposed program in a sustainable fashion.

It is this expectation of significant leverage of non-public resources, in combination with joint planning and of sharing risks and benefits, that defines the public-private alliances under the GDA as distinct and different from those activities USAID has previously supported.

¹ USAID traditionally defines cash or in-kind resource contributions as “cost-share or matching.” A definition of items that constitute “cost share or matching” can be found at 22 CFR 226.23 (see <http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/cfr_2002/aprqtr/22cfr226.23.htm>). Cost-share or matching is reported on a periodic basis on payment forms, and USAID has the right to reduce its share of funding if the cost-share reported is less than the agreed upon percentage or amount contained in the award. Finally, if a difference remains after an award has expired; the difference shall be refunded to USAID. The contributions being proposed in an application do not have to be proposed under the above “cost-share or matching” definition and provision; they can be proposed as “leveraging,” as discussed above. Applicants should indicate whether they are proposing the contributions as “cost-share or matching” or as “leveraging.” If proposing as “leveraging,” applicants should be prepared to provide annual benchmarks that include proposed results to be accomplished with USAID funds and the additional leveraging, and should be prepared to provide annual timelines that include percentages or amounts. The benchmarks and timelines will be included in the terms of any agreement awarded under this solicitation.

² Note that this APS should not be used to solicit funds for transportation of donated commodities.

III. APPLICATION INSTRUCTIONS, REVIEW PROCESS, AND EVALUATION CRITERIA

A. Overview of the Application Process

USAID Missions and WOUs will be responsible for the application review process and management of the award process. Applicants are required to submit short concept papers (see below for instructions) to Missions or operating units and will receive instructions on whether or not to proceed with a full application. Technical comments provided on the concept paper should guide the submission of the full application.

Applicants are reminded that applications that are: aligned with the goals of a USAID Mission or WOU; feasible; innovative; and bringing leveraging of a minimum one-to-one ratio (with at least some portion in cash) will receive consideration. For information about specific Mission and operating unit goals and objectives you may consult:

<http://www.usaid.gov/policy/budget/cbj2009/>

For contact information by mission, please see Annex A. It should be noted that for U.S. Organizations 22CFR226, OMB Circulars and the USAID Standard Provisions would be applicable. For non U.S. organizations Mandatory Standard Provisions mentioned in ADS 303 would be applicable.

Although the Office of Development Partners, Private Sector Alliances Division is responsible for this solicitation, **questions related to specific program activities should be directed to the targeted Mission or WOU**. Only technical questions concerning GDAs can be submitted to Mr. Todd Kirkbride at the contact information below. A summary of frequently asked questions will be posted on the web at <http://www.usaid.gov/gda>.

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 operating units may opt not to participate in this APS. Please consult with the point of contact provided in Annex A to determine the level of interest and whether funds will be made available for alliances.

B. Concept Paper Instructions

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 – 10-000001) from this solicitation.
2. Name and address of organization;
3. Type of organization (e.g., for-profit, non-profit, university, etc.);
4. Contact point (lead contact name; relevant telephone, and e-mail information). Regional or multi-country applications should provide the name of at least one local partner for each country targeted in the program;
5. 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
6. Signature of authorized representative of the applicant.

Technical Information:

1. Concise title and objective of proposed activity;
2. Discussion of the objectives, the method of approach, the amount of effort to be employed, the anticipated results, and how the work will help accomplish USAID's goals as well as the field Mission or WOU's specific strategic results within the given timeframe;
3. Brief discussion of how the key activity will be sustainable without continued USAID funding after the GDA program ends; and
4. 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.);
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.

C. Full Application Instructions

Missions/WOUs have the authority and ability to invite applicants to submit a full application based upon favorable reviews of concept papers. **These instructions are illustrative.** Contracting Officer at the Mission or WOU will provide specific requirements and instructions for the full proposal.

The length of the 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
- Executive Summary: 2 pages
- Body of Application: 25 pages
- All Attachments: 15 pages

The body of the application should include the following information:

- Table of Contents listing all page numbers and attachments
- Executive Summary
- Program Description
- Goal and Objectives
- Background/Problem Statement
- Explanation of partners and their expected roles, including partner and other resources brought to bear (leverage)
- Proposed Interventions/Technical Approach
- Expected Impact
- Duration of Activity
- Detailed sustainability plan clearly demonstrating how activities will continue in the long term without USAID support when the GDA program ends.
- Role of USAID (e.g., facilities, equipment, material, or personnel resources)
- 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
- Statement outlining gender and disability integration issues and how the applicant proposes to address the issues.
- Relevant organizational experiences of recipient and key partner organizations.
- Implementation Schedule

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

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

The annexes may also include relevant information about 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 wanted.**

All applications must be in English and submitted electronically via email.

Missions or WOU's will provide detailed application instructions, including where to send applications and when they are due. *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.

D. Evaluation Criteria for Concept Paper and Full Proposal Review

USAID's review of concept papers will focus on the following:

- Is the proposed activity of strategic and programmatic interest to the Mission?
- Does the proposed activity meet the criteria for a GDA? These are:
 - Jointly defined problems and solutions
 - Shared resources, risks and responsibilities
 - Fosters new innovative approaches to partnerships
 - At least 1:1 leverage of cash, expertise, systems, networks
 - Potential sustainability of proposed alliance program

Once a Mission determines the concept paper meets these criteria, they may request the submission of a full proposal. The Contracting Office from the specific Mission will provide the necessary additional instructions, technical requirements and specific evaluation criteria for a full proposal. If a full proposal is requested, the Mission or WOU will provide specific technical evaluation criteria to the applicant

IV. AWARDING OF ALLIANCES

A. Due Diligence Concerns

Due diligence requires that the U.S. Government enter into alliances with organizations and individuals who exhibit fiscal responsibility, character, and integrity. The extent of and approach to the Due Diligence will vary depending upon the situation 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. USAID will conduct an independent review of these issues as they relate to potential alliance partners. However, offerors should have conducted due diligence on potential partners and are welcome to provide any information deemed useful. Potential partners may be requested to respond to any potential issues that arise as part of the due diligence research. Failure to resolve serious concerns will be cause for non-award. (http://www.usaid.gov/our_work/global_partnerships/gda/index.html)

B. Memorandum of Understanding (MOU)

Upon favorable review of the full proposal, partners (including USAID) may draft a Memorandum of Understanding (MOU), which will be used to clarify roles and responsibilities of each alliance partner. *The Mission or operating unit will determine whether an MOU does or does not need to be in place prior to an award being issued by USAID.*

C. Roles of Partners

The actual division of responsibilities and risks are intended to be covered under the Letter of Intent/Memorandum of Understanding prior to finalizing the Agreement. Therefore, the following illustrative list of examples of allocation of responsibilities will be adjusted based on the successful alliance proposal, the best use of contributions from multiple partners, and the appropriate assignment of management and implementation responsibilities. 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 Agreement Officer (specifically delegated technical officer) might provide:

- a) Collaboration in establishing annual work objectives and approval of an annual work plan.
- b) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- c) Collaboration in determining corrective actions, where necessary.
- d) Approval of key personnel and any subsequent changes in the positions during the life of the award.

2. Example of Resource Partner Responsibilities

Examples of a Resource Partner's responsibilities may include:

- a) Participation on a management committee overseeing the alliance.
- b) Collaboration in establishing annual work objectives of the implementing partner.
- c) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- d) Collaboration in determining corrective actions, where necessary.

3. Example of Implementing Partner Responsibilities

The implementing partner of the program 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 partners to the alliance as needed, and all other applicable USAID regulations. The implementing partners will likely be responsible for the following activities and documentation during the life of the program:

- a) Requesting approval for program's key personnel;
- b) Working with partners to develop annual work plans;
- c) Conducting ongoing assessment of progress and a final evaluation, and submitting annual reports according to the requirements outlined in the award;

- d) Reporting on contributions of all alliance partners (leverage);
- e) Compliance with USAID branding requirements;
- f) Requesting approval for any changes in program description; and
- g) Submitting updated Standard Form 424A annually (section D and E only).

D. Budget Negotiations

Following an application review, applicants will be advised if negotiations are to be initiated, additional information is required, or if a decision has been reached not to fund the proposal.

E. Award

Following favorable negotiations, a grant (including Leaders with Associates), cooperative agreement or a collaboration agreement will be awarded either to the institution proposing the alliance or to a third entity that was proposed to implement the jointly funded alliance.

F. Reporting

Program implementation reporting will be determined based on the outcome of the collaborative finalization of the planned program and the delineation of roles and responsibilities. An annual performance monitoring plan using established baseline data and specific, measurable targets and indicators will also be agreed upon.

Financial reporting will be in accordance with the requirements of the obligating document, following mutual agreement of provisions.

V. ANNEXES

[ANNEX A – POINTS OF CONTACTS IN HOST COUNTRIES OR WOUS](#)

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

[ANNEX C – FREQUENTLY ASKED QUESTIONS](#)

[ANNEX D - REFERENCES](#)

ANNEX A

USAID POINTS OF CONTACT IN HOST COUNTRIES AND WASHINGTON

Before submitting a concept paper, we encourage applicants to speak with a person at the USAID Mission and/or WOU either by phone, email, letter, or in person. The Mission and/or WOU will inform you whether or not your idea is appropriate to the country, of interest to the Mission, and aligned with USAID goals in the country. Below is a link to a list of USAID mission strategic interests, contact points, and 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 at (202) 712-1747 or by e-mail at tkirkbride@usaid.gov.

MISSION/WASHINGTON CONTACT INFORMATION:

http://www.usaid.gov/our_work/global_partnerships/gda/GDA_Contacts.doc

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 Partner³ 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:⁴

Please refer to USAID website at

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

³ 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.

⁴ 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 proposal?

Interested applicants are required to submit short concept papers to **Missions and WOUs** (i.e. regional bureaus, pillar bureaus, offices) and may receive instructions on whether or not to proceed with a full proposal. Upon invitation, full proposals will also be sent to the USAID Missions or operating units for 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. The earlier a concept paper is received the greater the chance that funding might be available.

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 upon timely appropriations and the negotiation stage of the procurement action. USAID expects that funded programs may last from 12 to 60 months.

4. Will USAID funding be available exclusively during 2010 or will it be disbursed over the timeline established for the project?

If an application is accepted, USAID will make an award to the institution 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 formalized at the time of application?

No, the alliance does not have to be formalized at the time of application, 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 or involves more than one mission?

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 or WOU.

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.

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 proposal, partners including USAID will determine the appropriateness of signing a 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 award.

Funding

10. Are loans considered matching funding?

Consistent with the treatment of this issue in previous years, loans will **not** be counted as leverage under the GDA APS FY10. However, if an application includes a loan as part of the application, 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.

11. What is the source of funds awarded for alliances under this APS?

The resources being awarded under this APS come from the budget of USAID Missions and WOUs.

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

Alliances can indeed include funding from a variety of sources, including other USG funds, funds from other donors (e.g.: the World Bank, or the UK Department for International Development), or host country governments. While USAID seeks to ensure that there is a 1:1 leverage of public (USAID) to private funds, a smaller portion of private funds can be acceptable in a project that includes significant resources from other government sources. However, in order to be considered a GDA at least 25% of the leveraged resources must be from a non-public source.

13. 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 cash value of in-kind support. Note that at least 25% of the leverage must be in the form of cash. In-kind contributions should 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.

14. 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 may be proposed by the alliance partners, and it is acceptable for funds to be disbursed periodically over the length of the project. The Goal is at least 1:1 over the life of the partnership.

15. 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.

16. 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 FY10 awarded funds?

Yes. Awards made in FY10 may be implemented in FY11. Any award under the FY10 APS can be for multiple years; awards under this solicitation can be made for up to 5 years.

Sector Specific Issues

17. Can food aid resources be used under the APS?

Title II resources are eligible for building alliances. Please send any concept papers to the point of contact in [Annex A](#). The Office of Food for Peace will also issue annual guidelines for Title II programs.

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 and with the items contained within 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 able to submit an application. The universe of potential applicants is very broad. 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, an organization can submit as many applications as they wish. Please make sure that each is consistent with the guidelines set out in the APS.

23. The APS states that attachments should include a list of all contracts, grants, or cooperative agreements involving similar or related programs over the past three years. Is a list with the requested information acceptable, or should we also fill out Contractor Performance Reports for each program?

A list with the relevant information will be sufficient; you do not need to submit Contractor Performance Reports.

24. Which countries have priorities in agriculture, biosecurity, and/or disaster prevention projects?

For more information on country priorities, please review the individual Mission websites at <http://www.usaid.gov/missions> .

25. 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?

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.

26. In the proposal we are developing, one of the proposed private sector partners is an Indian firm. How are non-U.S. partners viewed?

Non-US organizations can be alliance partners and can contribute resources to an alliance regardless of program location. If the alliance partner is also being proposed to be a recipient of USAID funds, then local firms within the proposed program country are usually acceptable. If a non-U.S. partner is being proposed as a recipient of USAID funds for a country program outside of its own country, then the decision will depend on the cognizant Mission for the program.

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

No. The APS does discuss Volunteers for Prosperity, a volunteer-based initiative of the USA Freedom Corps designed to support major U.S. development initiatives overseas using the talents of highly skilled Americans who will work with U.S. organizations in countries around the world <http://www.volunteersforprosperity.gov>. Consistent with this, USAID encourages the utilization and integration of volunteers, including those participating in Volunteers for Prosperity, as they may be appropriate in your programs.

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

Yes. The GDA follows the 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. Implementing partners should address these issues within their proposals. 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/

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