



# USAID | PHILIPPINES

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**Subject:** Notice of Funding Opportunity (NOFO) Number: 72049219RFA00002,  
Amendment 1

**Program Title:** Disaster Resilience in the Compact Nations (RESILIENCE)

Ladies/Gentlemen:

The purpose of this Amendment 1 is to provide responses to questions received for the NOFO. Attachment 1 of this document are the detailed responses to questions. This amendment also revised specific sections (highlighted in yellow) of the NOFO impacted by the responses.

Sincerely,

Sandra Jansen

Agreement Officer  
Regional Office of Acquisition and Assistance

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## **SECTION A: PROGRAM DESCRIPTION**

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards as applicable, and USAID’s supplement, 2 CFR 700 as applicable, the Automated Directives System (ADS), as well as the additional requirements found in Section F.

### **1. Activity Summary**

The Disaster Resilience in the Compact Nations (RESILIENCE) is a five-year USAID activity that aims to improve the local capacity to prepare for, respond to, and reconstruct after natural disasters. The activity will expedite delivery of emergency and reconstruction assistance in the event of natural disasters in the Federated States of Micronesia (FSM) and Republic of Marshall Islands (RMI). In meeting this objective, USAID will work closely with the Department of Environment, Climate Change, and Emergency Management (DECCEM) in FSM, and the National Disaster Management Office (NDMO) in RMI. The activity has three components. Component One is centered on increasing the disaster preparedness and management capacity of local communities and host governments, particularly DECCEM and NDMO. Component Two is centered on maintaining pre-positioned assets and operational readiness to provide multi-sectoral humanitarian assistance. Finally, Component Three is focused on organizing a package of culturally-appropriate reconstruction assistance in the event of declared disasters.

The activity has a total estimated cost of \$5 million to potentially \$17 million, subject to occurrence of disasters, and implementation is expected to commence on July 5, 2019 and end on July 4, 2024. Funding for reconstruction assistance is subject to additional authorizations following declared disasters.

The activity will expedite the delivery of preparedness, relief and reconstruction assistance to fulfill USAID obligations to respond to a U.S. presidentially-declared disaster in FSM and RMI. To support the FSM and RMI governments to lead disaster responses for their own communities, the activity will increase their pre-disaster management capacity including, disaster planning; immediate pre-disaster emergency mobilization, evacuation, and early warnings; relief operations during the onset of these disasters; and immediate post-disaster operations during the first days or weeks after a disaster. The activity will increasingly shift responsibilities for the response and reconstruction to FSM and RMI governments over the five-year activity. The notional tasks include, but are not limited to, building the governments’ capacities to:

- Develop or update and maintain emergency and reconstruction contingency plans;

- Develop a training system to regularly test contingency plans such as emergency drills, early warning system tests, and table-top simulations;
- Develop mechanisms to pre-position or rapidly procure emergency supplies, including logistical arrangements for shipping and air transport;
- Develop systems for maintaining and surging qualified staff to support logistics for immediate assessments with local authorities and stakeholders, sector specific assessments, and the Joint Damage Assessment (JDA) as outlined in the Operational Blueprint (OBP).
- Enhance existing emergency communication networks of NDMO and DECCEM;
- Develop and maintain a system to inventory, assess, design, reinforce, and maintain public infrastructure, including consideration of climate change and disaster risk mitigation and appropriate local design standards endorsed by the host governments. The system would provide evidence to secure additional resources and funding from other donors;
- Train and partner with civil society organizations, private sector, and other local government to budget for and invest in climate change and disaster mitigation measures, and build technical and financial skills to improve resilience before and after a disaster. Resilience may include food security, health and sanitation, economic livelihoods, security, and other aspects.

## **2. Compact Agreements and Operational Blueprint**

In 1986, FSM and the RMI entered into a Compact of Free Association with the United States and transitioned from U.S. Trust Territories to self-governing nations. As the original Compact period came to an end, the United States entered into separate Compacts of Free Association (Compacts), since amended, with the FSM and RMI, the “Compact Nations”.

Under the terms of the Compacts, the United States entered into a Federal Programs and Services Agreement with each of the Compact Nations. Article X, therein as amended, commits the United States to provide disaster preparedness, response, and recovery assistance to the Compact Nations. This portion of the Compact, which includes economic assistance, terminates at the end of fiscal year 2024 (April 30, 2024 for RMI and June 24, 2024 for FSM).

When the Compacts were amended, primary U.S. Government (USG) responsibility for FSM/RMI implementation of disaster assistance transferred from the Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) to USAID, while FEMA retained responsibility for funding that assistance. The intent of the U.S. Congress for USAID–FEMA cooperation is to continue to provide a robust program of emergency disaster relief and reconstruction similar in type and level, but not identical, to the assistance that, for many decades, FEMA provided to these nations.

To help prepare for this transition, in 2008, USAID and FEMA agreed upon an OBP, since amended, to explain how the USG would achieve its disaster relief and reconstruction responsibilities in FSM/RMI. To support the USG's long-standing relationship and treaty obligations with the Compact Nations of FSM and RMI, the USG maintains a system to provide supplemental disaster relief and reconstruction assistance. The Compacts do not affect other existing USG authorities, nor undermine the primary responsibility of the FSM and RMI governments to prepare for and respond to disasters. This unique system of assistance includes a hybrid of both the USAID and FEMA practices and experience in previous disasters. USAID is responsible for providing disaster assistance and coordinating the USG response to disasters in the Compact Nations. Based on disaster events, USAID and FEMA, in coordination with the affected nation, will establish a JDA Team and will jointly gather and verify the disaster-caused damage and eligibility to provide the basis to request assistance. Following a U.S. Presidential Disaster Declaration (PDD), FEMA will provide funds to USAID for carrying out disaster activities related to the declared event. In addition, FEMA may provide subject matter expertise throughout the disaster operation, as appropriate. Assistance will be provided by USAID in coordination with FEMA, per the approved Disaster Relief and Reconstruction Plan (DRRP). The activity partner would be tasked with executing portions of the DRRP.

The activities undertaken in the RESILIENCE project will adhere to requirements outlined in the latest OBP (version 2017 is currently the latest).<sup>1</sup>

### **3. USAID's Disaster Resilience Program in FSM and RMI (2008 to Date)**

FEMA and USAID developed the OBP for Disaster Mitigation, Relief and Reconstruction in FSM and RMI, for 2008 through 2024, to ensure that the USG is able to deliver its federal responsibilities for disaster assistance under the Compacts. Consistent with the USG's commitments stated in the Compacts and the requirements stipulated in the OBP, USAID has provided assistance to FSM and RMI to improve preparedness and thereby the resilience to disasters. Through cooperative agreements with implementing partners, USAID has set-up the foundation to position the agency for rapid dispatch of emergency and reconstruction assistance. Two USAID-supported programs accomplished the following for the period of August 2008 to December 2018:

- Established three warehouses in the States of Yap and Chuuk in FSM, and in the island of Majuro in RMI, which allow USAID to pre-position emergency relief commodities. These commodities, such as reverse-osmosis units, jerry cans, generators, and sanitation items, and emergency shelter supplies, are a critical element of any effective relief

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<sup>1</sup> <https://www.usaid.gov/pacific-islands/documents/compacts-free-association-marshall-islands-micronesia>

operation. The pre-positioning of these assets has proved an effective model for improving the immediate response and reducing human suffering and loss of assets.

- Completed Emergency Response Contingency Plans for rapid and slow onset responses for all states in FSM and one for RMI.
- Supported DECCEM in the development of Standard Operating Procedures or SOPs (otherwise called Response Operations Plans) to supplement the National and State Disaster Response Plans (N/SDRP). The SOPs were developed to help operationalize the NDRP and to contribute to the increased capacity of the FSM government to manage a disaster response. After the consultation process, the national SOPs were endorsed by DECCEM as the key guiding instrument for coordinated disaster response. The program initiated a similar process at the state level in Yap, Chuuk, Pohnpei, and Kosrae in collaboration with their respective Disaster Coordination Offices (DCOs). This resulted in the revised and endorsed state SOPs that outlined the coordination mechanism between the three levels of government (National, State and Municipality).
- Conducted table-top exercises of the SOPs to test the level of preparedness of U.S. and host government agencies engaged in disaster response.
- Gathered multi-sectoral data (please see Attachment 2) on the main islands as well as in selected outer islands to aid in documenting the physical and institutional environments in FSM and RMI, including public infrastructure inventory. The data formed community profiles for use as baselines when responding to a disaster.
- Conducted briefing and training sessions to inform the host governments, private sector and civil society on the scope of the OBP, which outlines the roles and responsibilities of the USG in case of a PDD and how FSM and RMI citizens can avail of assistance.
- Renovated broadcast radio stations and repaired or supplied high-frequency solar radios to improve communication networks. Additional assessments of the communication equipment were used to identify areas where additional or improved equipment is needed. Workshops on communication strategies presented methods to effectively broadcast inclusive disaster risk reduction messages.
- Trained school-aged children and basic education teachers on various concepts of disaster risk reduction. Trained civil society organizations and community focal points on essentials of humanitarian assistance, construction basics to build back safer, and general first aid, health and safety procedures. Broadcasted disaster risk reduction radio messages over public radio up to three times daily in both local and English language.
- Completed Reconstruction Contingency Plan, including overall strategy, housing designs, staffing plans, and forms for a general event in FSM or RMI modeled on a worst-case typhoon disaster.
- Maintained logistical arrangements with private sector and transportation companies for the procurement and transport of emergency supplies, including food and non-food items.

The RESILIENCE program will continue to strengthen the disaster management capacity of local organizations and the governments of FSM and RMI from the response phase through reconstruction. Assistance will increase the country's ability to mobilize its own technical and indigenous resources to prepare for, respond to and mitigate the effects of disasters. Assistance will also improve FSM and RMI's national and state level capacity to mainstream disaster risk reduction in their policies and action plans to better respond to the adverse impacts of climate change, as well as to the increasing exposures to natural hazards. Strengthening institutional capacity and supporting host country ownership is important for sustainability and as the USG plans for transition of the disaster response responsibilities in 2024 to FSM and RMI.

In April 2015, Typhoon Maysak devastated the states of Chuuk and Yap in FSM, necessitating a PDD. USAID implementing partners provided relief and reconstruction. At a total estimated cost of approximately \$45 million, USAID reconstructed 422 homes and 155 public infrastructure activities, and provided funding to the state utilities and vouchers for individuals to replace damaged equipment and materials. The Typhoon Maysak Response Program accomplished the following:

- Completed detailed assessments of structural damage to private homes and public infrastructure.
- Implemented a voucher system to replace materials, fuel, food, and other immediate needs.
- Procured all construction materials and delivered them to each individual construction site, dispersed throughout the islands.
- Designed public infrastructure repairs, replaced structures with resilience improvements, and constructed new houses.
- Organized community work groups and trained unskilled laborers on basic construction, health, and safety practices.
- Oversaw and assured construction quality and environmental compliance.
- Coordinated with local village, state, and national governments on property rights and access, and communicated progress to all stakeholders.

The Disaster Preparedness for Effective Response (PREPARE) Project, implemented by the International Organization of Migration (IOM), is USAID's ongoing cooperative agreement to strengthen disaster preparedness and expedite the delivery of appropriate emergency relief and implement reconstruction assistance in the event of severe disasters in FSM and RMI. PREPARE is implementing reconstruction assistance following the PDD for the March 2018 Tropical Storm Jelawat Pohnpei Flood in FSM. The remaining activities are for reconstruction only and estimated to last until March 31, 2020.

The RESILIENCE activity will build upon lessons learned from PREPARE and other previously funded USAID programs in FSM and RMI, including four PDD responses since 2008. Some of these lessons include:

- USAID’s disaster assistance program should promote partnership with national, and state level authorities. The host governments are important stakeholders and must be properly engaged to achieve the activity objectives and results. One revision in the OBP based on experience was to increase the participation and accountability of the host government.
  - For example, the JDA team will be staffed jointly by the host government, FEMA, USAID/OFDA and USAID/Philippines. To start the JDA, the host government must provide a comprehensive list of damages to the JDA team and determine the locations of the highest impacts. Then the JDA must be completed 30 days after starting.
- Recognize the expertise, as well as the limits, of local capacity in businesses and civil society organizations (CSOs), including faith-based organizations and academic institutions. There are indigenous talents in FSM and RMI that understand the local context, especially in identifying culturally-sensitive interventions. In addition to generally low education levels, there are limitations to the scope and scale of all organizations, particularly with respect to logistics and sustainability. The communities can be insular and the practical challenges of operating across an expansive island nation are constraining. Aside from tourism, there is only a basic, formalized economy in smaller communities.
  - For example, the College of Micronesia can provide local knowledge on how to build typhoon-resistant houses using locally available materials. However, the local materials are not sufficient at scale if a significant disaster occurs. There is very little skilled labor available and few contractors willing to take on small, dispersed construction activities if reconstruction is required. Communities can be wary of outsiders so developing local connections is essential for success.
- Clear and functional monitoring and evaluation (M&E) paves the way for transparent and objective ways of assessing the extent to which results are achieved, and most importantly, identifying lessons learned over a long period of time. The OBP requires USAID’s relief and reconstruction program to be in place until 2024. Hence, USAID should be able to track not just the short to medium term results of its disaster assistance program in FSM and RMI, but also be able to measure the positive and negative long-term results from the assistance provided by the Agency since 2008. The M&E system will endeavor to improve the performance of current and future programs through better planning and implementation in the following interventions: emergency response, reconstruction assistance, and capacity building of host governments.

- In addition to Typhoon Maysak and Tropical Storm Jelawat, USAID responded to droughts in RMI in 2013 and 2016. While these disasters did not involve reconstruction assistance, the relief operation was complex and lengthy. A key lesson in these responses was the importance of maintenance of the reverse osmosis units and training Marshallese staff on their use in the outer islands. Another lesson learned was that local procurement of food can be achieved through working with local vendors. Both responses involved transportation and distribution to outer islands of locally procured food and food donated by the U.S. Department of Agriculture’s Food and Nutrition Service.

#### **4. Overview of the Legal and Programmatic Analysis**

##### **a. Overview of the Host Governments’ Legal and Policy Frameworks Related to Disaster Management**

###### FSM Government

There are a number of national policies and strategic documents that are related to disasters. In 2017, FSM issued the National Disaster Response Plan for the establishment of national institutional arrangements for FSM government for responding to emergency and disaster events within the country. It includes arrangements for preparedness, monitoring for potential events, and response. It also outlines arrangements to guide state disaster response plans and their connection to the national level arrangements. It includes provisions for accessing international support. The lead government agency tasked to respond to disasters, as well as the effects of climate change, is DECCEM.

There are other legal instruments that are related to disaster management. The Climate Change National Communication Plan laid out the priority sectors that would bear the impacts of climate change and projections of how they would be affected. The Nationwide Climate Change Policy summarizes the government’s commitment to address the negative consequences of climate change through adaptation interventions. The Strategic Development Plan/Infrastructure Development Plan endorses an ecosystem-based approach in all development initiatives, and integrates disaster risk reduction (DRR) and climate change adaptation (CCA).

###### RMI Government

Seven years after its enactment of the Disaster Assistance Act, in 1997 the RMI government established the National Disaster Management Committee and the NDMO located in the Office of the Chief Secretary (OCS). The NDMO is the lead agency that drafted the National Action Plan for Disaster Risk Management (DRM-NAP) 2008 □ 2018. The DRM-NAP

clarifies coordination of the RMI government, FEMA, NGOs and private sector in support of the disaster management arrangements. The plan provides a roadmap of how the RMI will go about implementing the strategy to establish a coordinated and effective national DRR and disaster management system for all hazards.

There are several related instruments including the Joint National Action Plan for Climate Change Adaptation and Disaster Risk Management (2014-2018), National Strategic Plan (2015-2017), and Agenda 2020: A Framework for Progress. NDMO also has an internal (not yet published) National Emergency Action Plan (NERP),

## **b. USAID Programming in FSM and RMI**

### USAID/Office of U.S. Foreign Disaster Assistance

The USAID Office of U.S. Foreign Disaster Assistance (USAID/OFDA) is responsible for providing relief assistance to FSM and RMI. USAID/OFDA staff are based in Majuro, RMI; Manila, Philippines; Honolulu, Hawaii; and Bangkok, Thailand, where the USAID/OFDA regional office for East Asia and the Pacific is located. USAID/OFDA also implements DRR activities through awards to non-governmental organizations (NGOs), Red Cross, and United Nations agencies. For a full description of USAID/OFDA DRR programming, please see this program summary.<sup>2</sup> Prior to disasters, USAID/OFDA staff liaise with Mission Disaster Relief Officers at the U.S. Embassies to provide relevant weather advisories and ensure timely information sharing. Immediately after an event, USAID/OFDA's Disaster Assistance Coordinator will work with the U.S. Embassies to determine if the event warrants recommending a disaster declaration as outlined in the OBP. USAID/OFDA will be the primary USG coordinator of relief operations in the Compact Nations and lead the Joint Damage Assessment (USG) as outlined in the OBP. In coordination with FEMA and USAID/Philippines, USAID/OFDA will assess the initial relief damages after a disaster, determine the overall cost for relief activities, and contribute to the development of the DRRP. USAID/OFDA will coordinate USG relief activities and transition to USAID/Philippines all reconstruction activities.

### USAID/Philippines

USAID/Philippines falls under USAID's Asia Bureau and is located in Manila. USAID/Philippines is responsible for assessing reconstruction needs and to provide USG disaster reconstruction assistance in FSM/RMI. After a disaster occurs, USAID/Philippines is responsible for contributing to the development of the DRRPs and fulfilling reconstruction

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<sup>2</sup> <https://www.usaid.gov/pacific-islands/working-crises-and-conflict>

operational requirements. The assistance package in FSM and RMI has to subscribe to all the standards laid out in the OBP.

### USAID Ready

USAID Ready is a five-year activity (2016-2021) that supports Pacific Island countries, including FSM and RMI, to become more environmentally and disaster resilient to protect the lives and livelihoods of their peoples. The activity works with government partners and other stakeholders to draft and implement policies to achieve adaptation goals; access larger amounts of financing from international climate adaptation funds; and improve the skills and systems within each country to better manage and monitor climate adaptation activities.

### **c. Constraints Analysis**

Delivering emergency and reconstruction assistance relies heavily on the physical environment, availability of logistics or transportation and communication support services, and institutional capacity of relevant government agencies and local disaster responders. This section summarizes the key constraints in FSM and RMI that will affect USAID's emergency and reconstruction program.

#### Geography as the Natural Barrier

The physical environment in FSM and RMI is the natural obstacle for easy access of not just humanitarian aid, but also access to labor, capital, and technology. The hundreds of islands that comprise FSM and RMI are separated by long distances. The FSM is comprised of 163 islands stretching over 2,700 kilometers (km) and an exclusive economic zone of 3 million square km. The population of 105,000 are primarily located in Chuuk lagoon and the biggest island cluster in Pohnpei. The 53,000 people in RMI are spread across 29 low lying atolls and five islands. The land area is 181 square km with a 2.1 million square km economic zone surrounding these islands. The highest point in RMI is only 10 meters above sea level. RMI is entirely an atoll nation. Atolls are reliant on rainwater catchments for their population's drinking water with very limited underground water resources. FSM has a mix of volcanic and atoll islands, varying the reliance on rainwater collection throughout the nation.

**Tropical Cyclones (TCs)** are usually formed within the territories of FSM and RMI. The TC basin of the Northwest Pacific is the most active in terms of number of events (about 30% of global TCs develop in this area). On average, 26 Tropical Storms or higher strength, with at least 16 becoming Typhoons, occur every year in this basin. The TCs can form throughout

the whole year, though most of them typically develop during the period between May/June and November, with the climatological peak of activity in August.<sup>3</sup>

Pacific Island countries like FSM and RMI are among the most vulnerable countries in the world to the adverse effects of climate change such as sea level rise, warmer sea temperatures, ocean acidification, severe storms, floods, and droughts (USAID Asia Pacific Regional Climate Change Adaptation Assessment, 2010).

**Drought.** The El Niño – Southern Oscillation (ENSO) is a recurring climate pattern involving changes in the temperature of waters in the central and eastern tropical Pacific Ocean and the patterns of sea level pressure, lower- and upper-level winds, and tropical rainfall across the Pacific basin. On periods ranging from about two to seven years, the surface waters across a large swath of the tropical Pacific Ocean warm or cool by anywhere from 1°C to 3°C, compared to normal. This irregular oscillation between warm and cool patterns, referred to as the ENSO cycle, directly affects rainfall distribution in the tropics and can have a strong influence on weather across the Pacific basin. El Niño and La Niña are the extreme phases of the ENSO cycle; between these two phases is a third phase called ENSO-neutral.

**King Tides.** The effects of king tides, storm surges, and salt water inundation are felt across FSM and RMI and often lead to localized disasters and damage local food security and livelihoods sectors.

Disaster relief and reconstruction assistance are therefore anticipated, if not expected to increase in frequency. Planning and implementation of disaster relief and reconstruction should be well informed by the changing climate impacts and adaptation scenarios.

#### Logistics Constraints<sup>4</sup>

Travel by sea and air in FSM and RMI is limited. The main commercial carrier service operating in FSM and RMI is United Airlines, which offers an “island hopper” that stops only in the main islands of the two countries. Other airlines such as Nauru and Air Nuigini fly to and from but generally not within FSM and RMI. A handful of the outer islands have airstrips suitable for small planes. Outer islands can easily be isolated, accessed at times only by a monthly shipping delivery schedule. The logistical challenges to deliver humanitarian aid to save lives and help affected families is immense.

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<sup>3</sup> [http://portal.gdacs.org/GDACSDocuments/015-NW%20Pacific%20Typhoons\\_update.pdf](http://portal.gdacs.org/GDACSDocuments/015-NW%20Pacific%20Typhoons_update.pdf)

<sup>4</sup> Full logistics capacity assessments for the Compact Nations can be accessed at: <https://dlca.logcluster.org/display/public/DLCA/LCA+Homepage>.

There are limited international shipping and cargo services operating in commercial harbor facilities in the two countries. Inter-state ship travel can take several days to a week. Travel from the main island to outer islands can be accomplished in a day or two on a handful of ships that can be hired to transport people or materials. Many of the smaller islands, particularly in Chuuk, do not have piers or docks and have very shallow, tidally dependent approaches that restrict the type of vessel that can land. This hampers dispatching emergency food aid and infrastructure materials in bulk or cargo containers.

#### Limited Number of NGOs

There is a limited number of local and international NGOs, including both non-profit and for-profit/commercial organizations, working in FSM and RMI that have the experience delivering disaster response and reconstruction assistance. This limits the options and competition for potential partners and subcontracting. Several local NGOs have received grants from USAID to implement short-term responses and medium-term training programs, as well as to build their own capacity. Their capacity, however, is often limited to one or two states and the main islands. Private companies are often very small, or there are so few as to create monopolistic conditions in many sectors. World Bank has announced increasing its funding for small Pacific nations, including FSM and RMI over the following five years. With relatively few implementing agencies and an increasing interest among donors, this activity must strategically place its capacity building interventions to ensure maximum value added to the work of other donors and not over taxing host nation colleagues.

#### Limited Host Government Capacity

Institutional capacity gaps exist in the skills, tools, and resources for disaster management in DECCEM and NDMO. Recent actions by both FSM and RMI governments have demonstrated increased emphasis and authority for the respective agencies responsible for disaster management. Some challenges are inherent in the FSM, where the national and four State governments largely function independently. USG assistance under the Compacts has at times come without sufficient sustainability considerations programmed in, disincentivizing repair and maintenance. Strong traditional power structures, combined with the remoteness of the islands, leaves most of the day-to-day decision-making to village and tribal authorities. On the positive side, increased ownership by the beneficiaries improves the spirit of partnership with the community.

State governments have limited staff and resources to assess and inspect infrastructure. In both countries, the national and state governments have limited vessels to help distribute materials. Legal authority in many instances is ceded to traditional caste systems. Gender

roles also influence the engagement and priorities of women and girls within the disaster preparedness activities and during disaster events.

## **5. Activity Framework**

### **a. Objective**

RESILIENCE is a five-year USAID activity that aims to improve the local capacity to prepare for, respond to, and reconstruct after natural disasters in the FSM and RMI. The activity is designed to expedite the delivery of mitigation, relief and reconstruction assistance to fulfill USAID obligations to respond to U.S. presidentially-declared disasters in FSM and RMI. The activity will increase the capacities of the FSM and RMI governments to cope with natural disasters in ways that are consistent with their responsibilities in U.S. presidentially-declared disasters. This includes disaster planning; immediate pre-disaster emergency mobilization, local evacuation and sheltering; relief operations during the onslaught of these disasters; and immediate post-disaster operations during the first days or weeks after the disaster event. RESILIENCE will work to increasingly shift responsibilities for disaster response and reconstruction to FSM and RMI governments over the life of the activity.

### **b. Activity Description by Components**

The activity has three components:

1. Component 1: Increased disaster management capacity of local communities and host governments.

To support self-reliance, USAID aims to strengthen FSM and RMI disaster management capacities. This is because effective disaster management capacity enhances the country's ability to mobilize its own financial, technical and indigenous resources to prepare for, respond to and mitigate the effects of disasters. In addition, it increases the sense of country ownership and the likelihood that interventions of USAID in the areas of disaster response, reconstruction and disaster mitigation can be sustained even after the USAID assistance has ended. Further, the national government will be able to leverage assistance from other donor countries to address the effects of disasters with a strong and transparent national system in place.

USAID's assistance to increase the disaster management capacity of FSM and RMI is focused on increasing knowledge and skills, and setting-up of systems to manage: (i) pre-disaster planning, (ii) reconstruction or post-disaster planning and (iii) disaster management networks composed of NGOs, private organizations, and community based

organizations that can provide additional resources to the government in responding to disasters and in implementing disaster mitigation activities.

The implementing partner, through a combination of training, workshops, mentoring and local field visits, will strengthen the capacity of national and state level government officials as well as the capacity of local communities. The implementation of the activities in Component 1 will adopt the following principles:

- Demand-driven and Gender-responsive Participatory Approach to Planning – The governments of FSM and RMI have the mandate to oversee the delivery of basic services, which include humanitarian assistance, and craft and implement the long-term development agendas for their countries. The activity puts the needs and priorities of the governments at the center of the capacity building process. Hence, the scope and the methodology in the implementation of pre-disaster and post-disaster planning activities will be driven by the government agencies involved in humanitarian assistance, namely the DECCEM in FSM and NDMO in RMI. The activity team will play a facilitation role and will provide technical assistance, including mentoring support, to ensure the most vulnerable groups in the community are represented.
- Evidence-based Approach to Planning – There is a great deal of research available that will help the governments of FSM and RMI identify the most vulnerable areas in their territory, as well as best practice in delivering humanitarian assistance. For example, USAID’s Asia Regional Office conducted a Regional Climate Change Adaptation Assessment in 2010. It pointed out that FSM and RMI are among the countries in the Pacific that are highly susceptible to the adverse effects of climate change such as sea level rise, storms, floods, droughts, warmer sea temperatures and ocean acidification. The activity will maximize the wealth of data and lessons learned that can assist DECCEM and the NDMO develop their respective pre-disaster and post-disaster plans.
- Government-CSO Partnership in managing disaster management (DM) networks – In FSM and RMI, there are several NGOs, Red Cross societies, and CSOs that can deliver life-saving emergency assistance, mobilize communities towards an equitable distribution of reconstruction assistance, and implement DRR activities. The activity will assist DECCEM and NDMO to organize and lead DM networks. The activity will also facilitate the participation of CSOs or local organizations with experience working with vulnerable populations (ex. single parents, elderly, persons with disability). Partnerships between the government and the CSOs will allow the DECCEM and NDMO to expand their reach, leverage resources, and

direct them to the areas that are in need of assistance. For example, the networks can be tapped by the DECCEM and NDMO to distribute relief assistance in the aftermath of a disaster. In return, the networks could augment the material and human resources of the government, to provide assistance to a greater number of affected communities. The activity will build the capacity of the DM networks to implement community-based initiatives, such as setting up early warning systems or drafting contingency plans.

The notional tasks include, but are not limited to, building the governments' capacities to:

- Develop or update and maintain emergency and reconstruction contingency plans;
  - Develop a training system to regularly test contingency plans such as emergency drills, early warning system tests, and table-top simulations;
  - Develop and maintain an emergency communication network;
  - Develop and maintain a system to inventory, assess, design, reinforce, and maintain public infrastructure, including consideration of climate change and disaster risk mitigation and appropriate local design standards endorsed by the host governments;
  - Train and partner with CSOs, private sector, and other local government units to budget for and invest in climate change and disaster mitigation measures, and build technical and financial skills to improve resilience before and after a disaster. Resilience may include food security, health and sanitation, economic livelihoods, security, and other aspects.
  - Provide expertise in multi-sectoral humanitarian assistance within their own governments, inline with international standards, such as the Sphere Standards.
  - Coordinate with donors to request, manage, and report on assistance.
2. Component 2: Maintain pre-positioned assets, operational and logistical capacity, multi-sectoral assessment capacity, and other resources for immediate provision of life-saving and early recovery assistance.

Disaster management can be divided into three stages: preparedness, response, and reconstruction in the post-disaster period. Pre-positioning assets in anticipation of a disaster is an approach that will increase the capacity of USAID, through its implementing partner, to rapidly dispatch emergency assistance. This will be done by pre-positioning or stockpiling relief commodities in strategic locations. A well-established, pre-positioned structure will allow USAID to jumpstart relief distribution. The absence of emergency supplies or the slow pace in distributing them may increase human suffering and loss of socio-economic assets. This activity will employ best practices in warehousing and pre-positioning humanitarian assistance in the Pacific,

including stock rotation, appropriate inventory processes and inspection regimes, temperature controlled storage for selected items, and all humanitarian standards related to the handling of the specific relief items.

The following is an illustrative list of what will be pre-positioned in strategic locations in both FSM and RMI based on gap analysis and consultation with USAID:

- Water, Sanitation, and Hygiene supplies and kits;
- Electrical generators between 2.5 and 125 kVA;
- Smaller-size generators capable of restoring power in discrete locations;
- Reverse osmosis units that can easily be deployed on the main islands and outer islands with (i) 25,000-gallon per day capability; and (ii) 2,000-6,000-gallon per day capability;
- Spare parts, filter replacements and formaldehyde fluid (for preservation when not in use) and other items appropriate for the storage and operations of the generators and reverse osmosis units;
- Batteries and quarterly charging stations for batteries;
- Emergency shelter supplies, including plastic sheeting and ropes;
- Salinity testers, water testing supplies, and other technical devices for use in humanitarian response.
- Small-stream rainwater catchment kits, which will include catchment gear, filtration, chlorination and purification capability to convert natural stream and spring water flow (and other sources) into potable water.

All items in the warehouses supported by this project will provide information on a monthly basis into the common warehouse information system in the Pacific Logistics Cluster.<sup>5</sup>

Additional tasks include, but are not limited to:

- Building the governments' capacities to develop mechanisms to pre-position or rapidly procure emergency supplies, including logistical arrangements for shipping.
- Establishing Memorandums of Understanding (MoUs) with private sector vendors to provide locally-procured relief items;
- Establishing MoUs with shipping companies, local transport companies, and public utilities companies for tasks envisioned to be needed during emergency operations;
- Rapidly engaging staff (expatriate and local) with island-specific knowledge to serve on rapid assessment teams, support national authorities in conducting

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<sup>5</sup> <https://palm.logcluster.org/#/public/home>

damage assessments, and provide logistical arrangements (air, land, and sea) for the USG JDA Team.

- Maintaining operational bases in strategic locations throughout RMI and FSM.
- Accessing surge rosters of emergency response experts with a wide variety of technical skills and requisite HR procedures to ensure their rapid deployment for relief and reconstruction activities.
- Utilizing local radio and newspapers to provide early warning information and public information during disasters.

3. Component 3: Organize a package of culturally-appropriate and socially-inclusive reconstruction assistance in the event of declared disasters.

Component 3 is contingent on the occurrence of a PDD. Although Component 1 of the activity recognizes the importance of building local capacity to manage disasters, it is also evident that assistance will still be needed to respond and rebuild, especially in the near term. USAID's intent is to move towards local management, while maintaining its commitment under the Compact to supplement local resources to provide a sufficient response. The delivery of USAID reconstruction assistance is taken within the context of contributing to the long-term strategy of the government of FSM and/or RMI and in making key infrastructure more resilient, should disasters strike again.

USAID is committed to provide reconstruction assistance to the governments of FSM and RMI through: (i) repair and construction of significantly damaged public infrastructure, public utilities, and private homes; and (ii) provide direct start-up assistance through a system of standard awards to families whose homes and possessions have been destroyed or seriously damaged. The OBP outlines the roles and responsibilities, types of assistance, and the processes by which assistance would be provided.

Notional tasks include, but are not limited to, building the governments' capacities to:

- Assess structural damage to private homes and public infrastructure.
- Facilitate distribution of materials, fuel, food, and other immediate needs.
- Design public infrastructure repairs to previous standards, replacement structures with improved resilience, as well as a standardized new house.
- Procure all construction services and materials and deliver them to each individual construction site dispersed throughout the islands.
- Oversee and assure construction quality and environmental compliance.
- Coordinate with local village, state, and national governments on property rights and access, and communicate progress with all stakeholders.

## **6. Monitoring, Evaluation and Learning (MEL)**

### **a. Responsibilities of the implementing partner of USAID**

The implementing partner will be responsible for ongoing monitoring, reporting, and evaluation (typically formative and mid-term evaluations) to inform management decisions by assessing whether activities are being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. As part of the activity Work Plan, the implementing partner will develop a Monitoring, Evaluation & Learning (MEL) Plan. The MEL Plan will describe the agreed upon framework of goals, outcomes, and outputs for the activity, along with indicators, baselines and targets defined for each, which are gender and geographically disaggregated where appropriate. Outcome indicators should include measurement of local capacity, such as increases in local participation, staffing, and budgeting, while the MEL Plan should include a narrative description of what entails activity success. The MEL Plan will also include the evaluative work that the implementing partner will conduct for its own management decision-making, institutional learning, and accountability purposes (See [USAID Evaluation Policy](#) and ADS 203, as revised, for more detailed guidance).

### **b. USAID Responsibilities**

USAID is responsible for guiding the recipient's progress in achieving the objectives of the activity and for verifying that the recipient's activities being funded by USAID complied with the terms and conditions of that award. The programmatic monitoring responsibilities of USAID include assessing the compliance with numerous policies of the Agency, such as: (i) Branding and Marking Strategy; (ii) drafting and implementation of the Gender Action Plan (GAP); (iii) MEL including the conduct of Data Quality Assessments; and (iv) Asset Inventory.

USAID will also review the financial reports and documentation of the implementing partner to verify that USG funds are spent as intended. USAID will monitor compliance on (i) cost-sharing requirements (if applicable); and (ii) obtaining any host country tax exemptions for which the implementing partner is eligible.

Under USAID's Evaluation Policy, the primary responsibility for evaluations that assess the overall performance and results from a project or activity rests with USAID. While the implementing partner often provides supporting data and analysis, such evaluations will be designed, implemented and independently contracted by the Mission to assure objectivity and rigor. This activity may be evaluated externally by a third-party evaluation contractor to be

commissioned by USAID towards the end of the period of performance. The notional evaluation questions may include:

- To what degree has the activity achieved its objective and deliverables, and what contributed to the achievements and non-achievements?
- What is the efficiency of the activity in achieving its stated purpose using least-cost or cost-effectiveness analysis?
- What are the key issues and lessons learned, both positive and negative arising from the performance review that are relevant to the future programs/operations of USAID in FSM and RMI, particularly to comply with the Compact Agreements?
- To what degree has the activity addressed its identified gender gaps/issues?

## 7. Critical Considerations

### a. Gender

Gender equality and female empowerment are essential for achieving USAID's development goals. The 2012 USAID Gender Policy advances equality between females and males, and empowers women and girls to participate fully in and benefit from the development, through the integration of gender in the entire project cycle -- from project design and implementation to monitoring and evaluation. This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender-based violence and mitigating its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision making in households, communities, and societies.

To operationalize these overarching outcomes, the activity must conduct a **gender analysis**, including gender-based violence, with a set of recommendations. The set of recommendations will translate into a gender action plan, and will figure into the activity's work plan and MEL Plan.

The activity's gender action plan will include the following considerations:

- Training for the activity staff, partners and cooperators on gender awareness, gender analysis and gender-responsive planning;
- Collection of sex-disaggregated data for baselines and monitoring of all people-level indicators and use of gender analysis tools to identify potential gender gaps and constraints; and
- Gender-responsive consultations to encourage the active participation of women, men and Lesbian, Gay, Bisexual, Transgender, Queer or Questioning, and Intersex

(LGBTQI); and ensure that the voices of women are heard and reflected in plans and activities.

The preparation of the Gender Plan of Action should be guided by the [USAID Gender Policy](#).<sup>6</sup>

The activity is required to adopt any of USAID's output and outcome indicators, as appropriate, on gender equality, female empowerment, and gender-based violence in USAID's Gender Policy. Progress of all related activities will be measured and verified using gender-sensitive performance indicators that will be part of the MEL Plan. All people-level indicators must be disaggregated by sex, analyzed, reported, and included in activity narratives.

Activities will be implemented in a manner that promotes fair, equitable, and meaningful inclusion of men, women, and LGBTQI in all activities. Where appropriate, the activity will ensure increased and safe participation of women (from the participating institutions) and LGBTQI in activity implementation.

#### **b. Geographic Information System (GIS)**

The recipient should ensure compliance with ADS 579, which includes mapping and tracking interventions and fund use through a geographic information system tool. Activity Location Data is a mandatory requirement in accordance with ADS 579. As possible and appropriate, this could be done at the village, region, or island level. Any GIS product(s) that will be developed using USAID funds, will be shared with USAID.

#### **c. Environmental Compliance**

The implementing partner should adhere to and comply with the conditions stated in the program's initial environmental examination (IEE), which was prepared by USAID for the activity. The IEE includes a climate risk assessment and how to address these risks. The terms of the IEE will be included in the award.

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[http://www.usaid.gov/our\\_work/policy\\_planning\\_and\\_learning/documents/GenderEqualityPolicy.pdf](http://www.usaid.gov/our_work/policy_planning_and_learning/documents/GenderEqualityPolicy.pdf)

#### **d. Sustainability**

USAID/Philippines is committed to ensuring that the activities under this activity are sustainable. Sustainability has been important for USAID's work over the 50 years of its existence and it is now a core part of U.S. global development policy and USAID's reform agenda. The Presidential Policy Directive on Global Development, the USAID and Department of State Joint Strategic Plan FY 2018-2022, and the Agency Sustainability Plan all recognize the critical importance of emphasizing sustainability in development cooperation.

For the purposes of integrating sustainability into USAID's project design process, sustainability is achieved when host country partners and beneficiaries are empowered to take ownership of development processes, including financing, and maintaining activity results and impacts beyond the life of the USAID activity. Sustainability is fundamental across USAID's Program Cycle and involves a multi-faceted set of issues including economic, financial, social soundness, cultural, institutional capacity, political economy, technical/sectoral, and environmental.

Activity sustainability can often be closely related to the host partner government managing the activities and participating in funding, leading to continuation of achievement of activity results and systems after the activity is concluded. In order to progress towards sustainability, the activity will enhance local capacity through implementation arrangements that strengthen local organizations' skills, incentives, motivations and opportunities. Moreover, strengthening government and local organization capacity promotes good governance inherent both to activity sustainability, and more broadly, to healthy and sustainable societies.

The recipient shall ensure that all institutional strengthening activities address both short- (during the activity) and long-term (post-activity) perspectives; opportunities for sustainability are carefully and regularly assessed; problem areas are dutifully highlighted and addressed; substantive issues beyond the management influence of the recipient and its proposed solutions are flagged for timely intervention by relevant parties; and the recurrent cost implications (i.e. likely costs, sources and commitment of funds and other resources) of achieving targeted sustainability, as defined above, are periodically assessed and the results of such assessments are documented and shared with all relevant decision-makers. The implementing partner requires a considerable degree of flexibility, while demonstrating a definite ability to achieve targeted results, as approved. The implementing partner must show:

- A recognition of and ability to operate within and respond to the pressures identified above;
- A program structure and approach that has an appropriate “accordion effect,” i.e., an ability to quickly scale-up or down in response to the pressures identified above; and
- An ability to assess, identify, propose, and justify cutting relatively non-performing aspects of the activity in favor of well-performing aspects in order to maximize use of available resources and potential impact.

**e. Inclusive Development**

USAID is committed to the inclusion of people who have physical and cognitive disabilities and to provide support to organizations that advocate and offer services for people with disabilities (PWDs). USAID focuses on improving access of PWDs to development programs and on removing barriers that cause exclusion. All its grants, cooperative agreements, and contracts have provisions on the inclusion of PWDs. In line with the USAID Disability Policy, the activity will promote the participation and equalization of opportunities of individuals with disabilities, increase awareness of issues of PWDs both within USAID programs and in host countries; foster a climate of nondiscrimination against PWDs; and support international advocacy for PWDs.

**f. Outreach**

The recipient is expected to articulate a plan for outreach, dissemination, and collaborative learning about the results (outputs and outcomes) of the activity, performance improvements, and lessons learned.

**g. Standard Property Rights Clauses**

It is necessary that USAID archive activity-related data to ensure that at the conclusion of the award, the Agency will have access to the data. Data that is collected and produced under the activity must be stored in a database management system or other structured data file format. This data will be provided in whole to USAID for further analysis and dissemination, if relevant.

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## **SECTION B: FEDERAL AWARD INFORMATION**

### **1. Estimate of Funds Available and Number of Awards Contemplated**

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide \$17 million in total funding, \$5 million for Components 1 and 2 of the program and \$12 million for Component 3 (reconstruction and rehabilitation), over a five-year period.

### **2. Start Date and Period of Performance for Federal Awards**

The anticipated period of performance is five years. The estimated start date will be on or about July 5, 2019.

### **3. Substantial Involvement**

USAID will remain substantially involved over the life of the Cooperative Agreement to assist the Recipient in achieving the expected outcomes and results of the program. Substantial involvement under the proposed award may include the following:

#### **a. Approval of the Recipient's Implementation Plans**

Annual implementation plans with supporting budgets, and subsequent revisions thereto, are subject to prior written approval by USAID's Agreement Officer's Representative (AOR) before any substantive work for each year of the Agreement is executed.

#### **b. Approval of Key Personnel**

Up to five (5) may be designated as key to the successful implementation of the program objectives of this Agreement. These personnel are subject to prior written approval by the Agreement Officer (AO):

- (1) Chief of Party (COP)
- (2) Deputy Chief of Party (DCOP) and Emergency Response Specialist
- (3) Reconstruction Manager (contingent on Component 3, see item "d" below)
- (4) TBD
- (5) TBD

The minimum qualifications for Key Personnel are as follows:

Position	Minimum Qualifications
COP	<ul style="list-style-type: none"> <li>● Master’s degree in management, public administration, economic, engineering or related fields. A Bachelor’s degree plus 11 years of relevant work experience may be substituted for a Master’s degree and seven years.</li> <li>● At least seven years of relevant leadership experience in disaster preparedness, contingency planning, and management working with national, state, and local governments and civil society.</li> <li>● Background of leading disaster management (focusing on humanitarian response and recovery/reconstruction) programs, with in-depth knowledge and understanding of disaster preparedness. Bonus for experience attained in the role of COP/DCOP.</li> <li>● Demonstrated leadership skills in coordination, consultation, and participatory methods. Demonstrated understanding of the national context, or context of Pacific island countries is a bonus.</li> <li>● Experience in managing disaster responses in remote, multi-site environments, in developing countries. Prior experience managing programs in the Pacific Islands is a bonus.</li> <li>● Experience/knowledge in leading processes such as financial management, procurement, logistics, managing multiple warehouses, adhering to relief standards for storage, transportation, and distribution of relief items.</li> <li>● Proven skills in designing and managing USAID, USAID/OFDA, or other donor humanitarian and capacity building programs. Demonstrated experience in compliance with USG regulations.</li> <li>● Fluent in English.</li> </ul>

<b>Position</b>	<b>Minimum Qualifications</b>
DCOP and Emergency Response Specialist	<ul style="list-style-type: none"> <li>● Bachelor's degree in management, social sciences, engineering or related fields.</li> <li>● At least four years of relevant experience in disaster preparedness, contingency planning, and management working with national, state, and local governments and civil society.</li> <li>● Background in disaster management (focusing on humanitarian response and recovery/reconstruction) programs, with in-depth knowledge and understanding of disaster preparedness. Bonus for experience attained in the role of COP/DCOP.</li> <li>● Demonstrated skills in coordination, consultation, and participatory methods. Demonstrated understanding of the national context, or context of Pacific island countries is a bonus.</li> <li>● Experience in implementing disaster responses in remote, multi-site environments, in developing countries. Prior experience managing programs in the Pacific Islands is a bonus.</li> <li>● Experience/knowledge in managing processes such as financial management, procurement, logistics, managing multiple warehouses, adhering to relief standards for storage, transportation, and distribution of relief items.</li> <li>● Proven skills in designing and implementing USAID, USAID/OFDA, or other donor humanitarian and capacity building programs. Demonstrated experience in compliance with USG regulations.</li> <li>● Fluent in English.</li> </ul>
Reconstruction Manager	<ul style="list-style-type: none"> <li>● Bachelor's degree in construction management, engineering, physical sciences, or related fields. Professional Engineering license is a bonus.</li> <li>● At least 10 years of experience in managing construction projects, including at least 2 years of experience in a post-conflict/post-disaster context. Experience in remote, multi-site environments, in developing countries is a bonus.</li> <li>● Demonstrated skills in coordination, consultation, and participatory methods. Demonstrated understanding of the national context, or context of Pacific island countries is a bonus.</li> </ul>

For any replacement of personnel and/or change/s in key positions, the Recipient must notify the AOR in advance and submit a written justification in sufficient detail, including proposed replacement, to permit evaluation of the impact of the replacement on the activity.

Replacements must meet or exceed the qualifications stated above. No replacement will be made by the Recipient without prior written consent and approval of the AOR and the AO respectively.

**c. USAID and Recipient Collaboration or Joint Participation**

The Recipient's successful accomplishment of program objectives will benefit from USAID's technical knowledge; thus the Agreement Officer may authorize the collaboration or joint participation of USAID and the Recipient on the program. USAID involvement may include but is not limited to:

- (1) Approval of the Recipient's Monitoring, Evaluation, and Learning (MEL) Plan. In consultation with USAID through the AOR, the Recipient will develop the MEL Plan which will align with the monitoring and reporting framework, and other relevant reporting mechanisms required by USAID/Philippines and the Pacific. During the first ninety (90) days from award date, the Recipient will work closely with the AOR to establish major milestones, program monitoring indicators, as well as baseline data and performance targets which will demonstrate successful achievement of the results expected from this activity.
- (2) Monitoring the Activity. USAID will monitor the activity to ensure activities are supporting the Mission's purpose, to share best practices and capture lessons learned and will authorize direction and/or redirection of interventions specified in the Program Description due to FSM, RMI and US foreign policy objectives and priorities, as well as interrelationships with other programs, including those of USAID's. Monitoring includes but will not be limited to site visits; reviewing terms of reference, quarterly and other types of reports, deliverables and other products; and participating in technical meetings as appropriate.
- (3) Approval of Subawards. Per 2 CFR 200.308, all subawards (whether contracts or subgrants) not included and approved in the original cooperative agreement will require prior written Agreement Officer approval. In addition, prior written AOR concurrence with substantive provisions of subawards is required. Furthermore, USAID will participate as a member of any contracting and financing mechanism established by the activity.

- (4) Collaboration or participation by USAID in technical evaluation of architecture and engineering designs and evaluation of subcontract procurements for reconstruction activities.
- (5) Approval of the locations for the Recipient's operational bases and warehouses.
- (6) Preparation of final reporting and financial reconciliation to USAID.

#### **d. Construction**

The performance of construction under Cooperative Agreements requires enhanced Agency involvement to manage risks and ensure safety and quality. Substantial involvement, as defined by ADS 303.3.11, includes authorities delegated to the AOR to approve implementation plans and key personnel, and collaborate with the recipient. The following are adaptations to substantial involvement under this award:

- Approval of the implementation plan specific to construction, including: procurement plan, health and safety plan, environmental mitigation and monitoring plan, quality management (or control and assurance), schedule, organization chart or staffing plan.
- Technical Approval of key personnel - Reconstruction Manager.
- Collaboration or participation by USAID in technical evaluation of architecture and engineering designs and evaluation of sub-contract procurement.
- Agency authority to immediately halt a construction activity.
  - The AO may immediately halt a construction activity if identified specifications are not met. For these circumstances, the AOR and/or USAID Engineer (architect or engineer) must make a recommendation to halt construction activities to the AO.
  - The AO may delegate the authority to immediately halt construction to the AOR and/or USAID Engineer in cases of non-compliance with health, safety or environmental regulations.

USAID retains the authority to immediately halt any construction that may be undertaken under this activity. For purposes of this activity, "construction" means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The team includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures. See link:

<https://www.usaid.gov/sites/default/files/documents/1868/303maw.pdf>.

#### **4. Authorized Geographic Code**

The geographic code for the procurement of commodities and services under this program is **937**.

#### **5. Nature of the Relationship between USAID and the Recipient**

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the RESILIENCE program which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

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## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

Eligibility for this NOFO is not restricted. This funding opportunity is open to all interested and eligible organizations (i.e., non-governmental organizations, universities, consortiums, for-profit organizations<sup>7</sup>, public international organizations, etc.).

USAID welcomes applications from organizations that have not previously received financial assistance from USAID.

### **2. Country Registration**

Applicants must demonstrate knowledge of local registration requirements in FSM and RMI to legally operate in these countries. Applicants are not required to be registered in both FSM and RMI at the time of application submission, however, the apparently successful applicant must address plans to ensure prompt country registrations, including relevant tax exemptions that are granted to USAID implementing partners under bilateral agreements.

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<sup>7</sup> For profit organizations willing to forego their fees

## **SECTION D: APPLICATION AND SUBMISSION INFORMATION**

### **1. Agency Point of Contact**

Name: Sandra Jansen  
Title: Agreement Officer  
Email: [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov)

### **2. Questions and Answers**

Questions regarding this NOFO should be submitted via email to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) (copy furnish [fcaxixto@usaid.gov](mailto:fcaxixto@usaid.gov)) no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

### **3. General Content and Form of Application**

Applicants are expected to review, understand and comply with all aspects of this NOFO, its amendments (if any) before submitting the documents required. Applicants must ensure the necessary documents are complete and received at USAID on time. All submissions received by the stated deadlines will be reviewed in accordance with the review criteria contained in Section E of this NOFO. Failure to do so may result in the submission being considered non-responsive and will not be reviewed.

Submissions must be in electronic format. Applicants' authorized representatives are to print and sign their names on the cover pages of their submissions, as well as in required certifications.

For a submission to be considered timely, the electronic transmission must be submitted by email to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) (copy furnish [fcaxixto@usaid.gov](mailto:fcaxixto@usaid.gov)) and received by the USAID/Philippines internet server no later than the date and time indicated on the cover page of this NOFO.

Preparation of Applications:

Each applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please

see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303).

Any erasures or other changes to the application must be initialed by the person signing the application. Applications signed by an agent on behalf of the applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations (no more than 20 pages for the Technical Application, excluding Annexes).
- Written in English.
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.

- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

#### **4. Application Submission Procedures**

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter. Late applications may be considered at the discretion of the Agreement Officer. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified mail receipt

Applications must be submitted by email to [manila-roaa-rfa@usaid.gov](mailto:manila-roaa-rfa@usaid.gov) (copy furnish [fcalixto@usaid.gov](mailto:fcalixto@usaid.gov)). Email submissions must include the NOFO number and applicant's name in the subject line heading. Each email transmission, with attachments must not exceed 5MB. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via [grants.gov](https://grants.gov) that it is a "corrected" submission. Do not send the

same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of \*.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Philippines cannot guarantee their acceptance by the internet server.

## **5. Technical Application Format**

The technical application should be specific, complete, and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO. The Technical Application must not exceed twenty (20) pages, excluding Annexes, and should consist of the following:

### **a. Cover Page**

The cover page is excluded from the page limitation. (See Section D.3 above for requirements)

### **b. Table of Contents**

Include major sections and page numbering to easily cross-reference and identify merit review criteria. The table of contents is excluded from the page limitation.

### **c. Executive Summary**

The Executive Summary must provide a high-level overview of key elements of the Technical Application. **The Executive Summary is excluded from the page limitation but must not exceed one and a half pages.**

### **d. Technical Approach**

Applicants must describe their approach to achieve the objective of the activity. Applicants must demonstrate a clear understanding of the context in FSM and RMI, in which this activity is being implemented, and propose general strategies and specific tactics that will

have the greatest chances of success. The approach must demonstrate clearly that the applicant understands, and is prepared to deal with, the prevalent challenges, constraints, and risks in each proposed activity. Applicants must include their approach to responding to potential disasters, whether or not declarations are made.

The applicant should demonstrate an understanding of the technical approach, issue focus, and specific government counterparts involved in all three Components. The applicant should describe how the communities, including civil society, private sector, and other NGOs will be consulted and incorporated. The offeror should demonstrate awareness of relevant and past and current assistance programs of USAID and other donors, and how to position this activity in relation to these other activities. The applicant should also demonstrate an understanding of the importance of the activity in responding to the USG's commitments under the Compacts with FSM and RMI. The technical approach should demonstrate thorough knowledge and compliance of the OBP's requirements.

Applications must address how proposed activities support and link to host nation priorities as outlined in their published policies and frameworks. Applications should clearly articulate a strategy for increasing the capacity and ownership of host governments and other key local actors for disaster preparedness, response and reconstruction. Applications should demonstrate the evolution and phasing down of USAID assistance, working to build the capacity and ownership of local stakeholders so they will be ready to take on disaster management responsibilities before the end of disaster assistance through the Compacts.

The applicant's technical approach should demonstrate how issues on gender and people with disabilities will be responded to throughout the project cycle – planning, implementation, monitoring and evaluation. The applicant should include women, men and LGBTQI in their staff and among target groups in a representative manner as possible. The applicant will prepare a draft Year 1 MEL Plan (as an Annex to the Technical Application) to be submitted with its application.

For the purposes of technical evaluation, applicants are required to include in their technical application a detailed description of activities designed to accomplish the objectives.

The applicant will prepare a draft Sustainability Plan to be submitted as an Annex to the technical application. All annexes will not be included in the page limitations.

## e. Management Plan and Implementation Schedule

### (1) Key Personnel

Applicants must provide brief information on the proposed candidates for each of the key personnel position highlighting the relevance of experience and expertise relative to the minimum qualification requirements as listed in Section B.3.b and relative to the responsibilities described below:

(i) Chief of Party (COP). The COP has the primary responsibility to guide the activity team, host country partners, and other partners to ensure that activity deliverables are achieved. S/he will liaise with professional civil servants in the FSM/RMI national and state governments.

(ii) Deputy Chief of Party (DCOP) and Emergency Response Specialist. The DCOP will be the technical specialist for emergency assistance, and be responsible for designing and implementing relevant activities. The DCOP will have demonstrated experience in community-driven, inclusive programs.

### (iii) Reconstruction Manager

The Reconstruction Manager is necessary on every presidential disaster declaration (PDD) that meets the criteria based on public infrastructure damage or primary residences destroyed. Applicants must propose a roster of candidates to demonstrate its ability to fill the position. The Reconstruction Manager will direct inspection of damaged infrastructure, review of feasibility studies, and preparation of construction plans and specifications to ensure consistency among all reconstruction interventions, and compliance with the OBP.

### (iv) Other Key Personnel

Applicants may propose up to two (2) additional key personnel it deems important for the program where USAID may invoke substantial involvement. Any additional key personnel positions must be supplemented with minimum qualification requirements the applicant associates with each position. **The proposed minimum qualification requirements for any additional key personnel can be submitted as an annex.**

The applicant is required to furnish curriculum vitae (CVs) of each candidate for the key personnel positions. CVs must not exceed 3 pages and should be included as Annex to the technical application. CVs are excluded from the page limitation.

## (2) Management Plan

Applicants are required to submit a management plan which discusses the overall management approach towards planning, implementation, monitoring and evaluation. The management plan must:

- Demonstrate the applicant's ability to recruit and retain local and international staff qualified to work in remote, disaster-prone, and otherwise similar contexts.
- Demonstrate the applicant's ability to find qualified subrecipients (if any) and consultants.
- Demonstrate the need for and level of effort required of staff in relation to the proposed activities in the technical approach.
- Discuss the role and management of proposed subrecipients (if any).
- Demonstrate the applicant's ability to coordinate with other donors and donor-funded activities.
- Demonstrate the applicant's ability to manage warehouse operations and commodity inventory, inspection, and distribution.
- Describe proposed locations for operational bases as well as warehouses, and the basis for their strategic locations. The applicant must ensure presence in both countries.
- Demonstrate the applicant's ability to quickly set up additional operational bases and warehouses that may be needed for large scale disasters.

The applicant should present a staffing (to complement the key personnel) and recruitment plan that reflects the approach to ensure local recruitment to the maximum extent practicable to build the capacity of local communities through on-the-job training, while recognizing the limited existing capacity of the local labor force. The staffing plan for a potential reconstruction effort under Component 3 should reflect the applicant's capacity to respond to disasters of various magnitudes and to scale up quickly. Changes to roles of regular staff and/or staff additions in the event of a disaster should be clear.

The applicant must also present its capability to administer subcontracting arrangements (if not inherently within its manageable capacities) in all technical deliverables such as JDAs, infrastructure designs, and construction oversight.

The applicant should explain how it envisions effective coordination, collaboration and working arrangements which will result in clear outcomes and maintain value for the contribution of all subrecipients (if any), including its approach to the development of:

- The individual subrecipient roles and responsibilities regarding the division of labor;
- Shared and transparent decision-making processes;
- A communication plan for all levels within the partnership (prime and subrecipient) and with external stakeholders promoting effective and shared communication with the host governments and other stakeholders;
- Shared goals and aims to ensure sound coordination of policies, programs

The applicant must provide (as an Annex) an organizational chart that describes the assigned locations of each personnel, the reporting and coordination lines, including link between home office and field office(s).

### (3) Implementation Schedule

The applicant will prepare a draft Year 1 implementation schedule to be submitted with its application. The applicant will submit a draft implementation schedule will presenting the proposed activities and critical timelines of key deliverables, particularly the timing for Component 2 and 3 readiness. In order to achieve the activity objectives, the following notional deliverables should be completed in conjunction with local communities and host government counterparts:

- System to develop, update, and test emergency and reconstruction contingency plans;
- System to operate, maintain and test emergency communication networks;
- System to inventory, assess, and design public infrastructure, including appropriate local design standards endorsed by the host governments;
- Training program designed and delivered to stakeholders, including knowledge and skills to budget for and invest in disaster mitigation measures, and build technical and financial skills to improve resilience after a disaster; and
- Warehouses storing pre-positioned assets in strategic locations (applicants must propose where warehouses should be strategically located and explain the basis for selection).

The applicant must present separate implementation schedules must include for two illustrative example events schedules, one for emergency response JDA for a category 2

tropical cyclone in Yap, FSM and one for reconstruction work for damage from a tropical cyclone in Chuuk, FSM. Background information for each event are as follows:

(i) Hypothetical Event 1: JDA in Yap, FSM

*Category 2 Tropical Cyclone that destroys homes on five islands in Yap, FSM.*

(ii) Hypothetical Event 2: Reconstruction Work in Chuuk, FSM

*A tropical cyclone strikes Chuuk, FSM. Assessments have been completed and found that 5 islands in the lagoon were affected, home to 1,000 people. There were 50 minor-damaged homes, 50 major-damaged homes and 100 destroyed homes (200 square feet each). In addition, 50 public buildings damaged (100 square feet each with damaged roofs and windows), 50 public buildings destroyed (approximately 400 square feet each), agricultural land was damaged over 100 acres, utilities sustained \$1 million of damage, and 2000 feet of road (20 feet wide) with 4 culverts was destroyed.*

Since these are hypothetical events, they need not be reflected as part of the Year 1 implementation **schedule**, but should consider how a disaster in the first year may affect all activities. The implementation schedule must reflect the required timelines in the PDD process laid out in the OBP. The implementation schedule must be submitted in the form of a Gantt Chart or similar graphic.

#### **f. Institutional Capacity and Past Performance**

Applicants must describe the relevance of the organization's previous experience to the program areas covered by the activity. The applicant shall demonstrate its organizational capability with regards to its ability to field qualified staff, its ability to work with host governments, local organizations and its ability to coordinate and manage a broad range of activities within a limited timeframe as well as offer good value for USG funds.

The technical application should include a list of relevant contracts, grants, task orders, etc. implemented by the applicant.

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed five years or four awards (**each for prime applicant and proposed subrecipients**), as follows:

- Name of the Awarding Organization;

- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last five years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. ~~The applicant should not provide general information on its performance.~~ USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

The applicant must provide performance information for itself and its subrecipients (if any) in an Annex (no longer than 1 page per organization). The applicant is strongly encouraged to provide specific examples of significant impact of their past projects and how cooperation in prior partnerships/consortium contributed to that impact. The applicant must include specific examples of past partnerships where the organization served as part of a consortia or other partnership.

The applicant should address the following points:

- Demonstrated successful experience in managing and implementing similar programs, in size and scale, preferable in the pacific region;
- Timelines of performance, cost, and scope; and
- How the headquarters management team contributed to success.

USAID will initially determine the relevance (complexity, scope, size and magnitude) of similar performance information

The applicant must provide past performance references for itself and each major sub-awardee. This past performance information must be submitted in accordance with the following:

- For the applicant and each major subrecipient, list most recent and relevant awards for efforts similar to this program. To ensure uniformity of information for conducting reference checks, the applicant/subrecipient shall provide the name, telephone number, and email address for each award listed. It is recommended that the applicant/subrecipient inform the contacts that their names have been submitted and that they are authorized to provide past performance information when requested. Applicants/subrecipients shall not provide general information on their performance.
- Applicants/subrecipients may describe any quality awards or certifications that indicate exceptional capacity to provide the service relevant to the program.

Past performance references must be submitted as an Annex to the Technical Application and will not be counted in the page limitation.

## **6. Business (Cost) Application Format**

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

### **a. Cover Page**

(See Section D.3 above for requirements)

### **b. SF 424 Form(s)**

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at [www.grants.gov](http://www.grants.gov) or using the following links:

<b>Instructions for SF-424</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html</a>
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<b>Application for Federal Assistance (SF-424)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF-424A</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html</a>
<b>Budget Information (SF-424A)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF-424B</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html</a>
<b>Assurances (SF-424B)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>

Failure to accurately complete these forms could result in the rejection of the application.

**c. Required Certifications and Assurances**

The applicant must complete the following documents and submit a signed copy with their application: “Certifications, Assurances, Representations, and Other Statements of the Recipient” document found at <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

**d. Budget and Budget Narrative**

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID’s determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program.
- Separate Summary Budget presenting Component costs. Each component cost should be broken down into direct costs and indirect costs.
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E. The budget will provide detail on all federal funding broken out by budget category for the entire implementation period of the project.
- Separate Detailed Budgets for each sub-recipient (if any), with the same details by budget category breakdown and year as with the prime applicant.

The Detailed Budget must contain the following budget categories and information, at a minimum:

- (1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
- (2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries. **If applicant proposes for fringe benefits that are not based on a percentage (i.e., flat rates), the applicant must provide basis for these rates.**
- (3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and

the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

- (4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.
- (5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the prime applicant's budget, including those related to fringe and indirect costs.
- (6) Warehouse costs and Pre-positioned supplies – While an illustrative list of pre-positioned materials are provided in Section A.5.b.2, a number of materials from the previous USAID and OFDA award will be transferred to RESILIENCE and should not be costed out. A list of the materials are provided in Annex 1. Applicants should also estimate for warehouse space that can accommodate disaster response materials that may be consigned to the awardee by OFDA during a relief response. Annex 2 provides the OFDA Commodity Catalogue for reference.

For purposes of assessing capability in supporting USAID/OFDA to deliver immediate emergency response to affected populations, the applicant must present an illustrative budget breakdown (as a separate tab in the budget worksheet with supplemental budget narrative) for **hypothetical event 1 in Section D.5.e(3)(i). The illustrative scenario will be for a Category 2 Tropical Cyclone that destroys homes on five islands in Yap, FSM.** Applicants must take into consideration the logistics and timing requirements in the OBP related to implementation of a JDA (page 8). Applicants should also reference OFDA Logistics guidance found starting on page 143 in the OFDA Guidelines ([https://www.usaid.gov/sites/default/files/documents/1866/USAID-OFDA\\_Proposal\\_Guidelines\\_May\\_2018.pdf](https://www.usaid.gov/sites/default/files/documents/1866/USAID-OFDA_Proposal_Guidelines_May_2018.pdf)). In addition to providing a detailed budget for this illustrative scenario, the Budget Narrative should describe how the

offeror's budget will enable the quick mobilization and support for JDAs. These hypothetical event budgets need not be reflected in the overall budget, but should reflect the proposed technical approach, management plan, and implementation schedule.

(7) Reconstruction

Reconstruction costs, authorized in the event of a Presidential Disaster Declaration, should be included as a separate cost category, independent of Components 1 and 2, wherein there may be sub-categories such as labor, travel, equipment, services, and materials. The reconstruction costs should include those other direct and indirect costs directly attributable to only this Component. For overall budget projection purposes, Component 3 has a ceiling of \$12 million (inclusive of both direct and indirect costs) as a plug-in figure **for the entire five years (without annual breakdown)** in the cost application **Budget Summary**. However, for purposes of assessing the cost structure of the applicant in terms of specific reconstruction activities, the applicant must present an illustrative budget breakdown (as a separate tab in the budget worksheet with a supplemental budget narrative) for the **hypothetical event 2 in Section D.5.e(3)(ii)**.

- (8) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.
- (9) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414.

Applicant with a NICRA issued by a USG Agency must use that NICRA

Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See [USAID's Indirect Cost Rate Guide for Non Profit Organizations](#) for further guidance.

Applicants that does not have an approved NICRA must provide additional supporting information, including financial statements and audits (for the past 3 years), should the application still be under consideration after the merit review.

**e. Prior Approvals in accordance with 2 CFR 200.407**

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

**f. Approval of Subawards**

The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

**g. Dun and Bradstreet and SAM Requirements**

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

- (1) Provide a valid DUNS number for the applicant and all proposed sub-recipients;

- (2) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient ([www.sam.gov](http://www.sam.gov)).
- (3) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

DUNS number: <http://fedgov.dnb.com/webform>

SAM registration: <http://www.sam.gov>

Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on [www.sam.gov](http://www.sam.gov), navigate to Help, then to International Registrants.

#### **h. Branding Strategy & Marking Plan**

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award.

##### **(1) Branding Strategy – Assistance (June 2012)**

- (a) Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- (b) The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- (c) Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

(d) The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(e) The Branding Strategy must include, at a minimum, all of the following:

(i) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(ii) The intended name of the program, project, or activity.

1. USAID requires the applicant to use the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

2. USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.

3. It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

4. If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

5. USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos.

(iii) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(iv) Planned communication or program materials used to explain or market the program to beneficiaries.

1. Describe the main program message.
2. Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
3. Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”
4. Provide any additional ideas to increase awareness that the American people support this project or program.

(v) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(vi) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID. e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan. f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

## **(2) Marking Plan – Assistance (June 2012)**

(a) Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and brandmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(b) The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

(c) Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

(d) The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(e) The Marking Plan must include all of the following:

(i) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

1. Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
2. Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
3. Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
4. It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
5. Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is

encouraged to otherwise acknowledge USAID and the support of the American people.

(ii) A table on the program deliverables with the following details:

1. The program deliverables that the applicant plans to mark with the USAID Identity;
2. The type of marking and what materials the applicant will use to mark the program deliverables;
3. When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
4. What program deliverables the applicant does not plan to mark with the USAID Identity , and
5. The rationale for not marking program deliverables.

(iii) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

1. Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
2. Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
3. Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant

must explain why each particular item or product is better positioned as host-country government item or product.

4. Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

5. Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

6. Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

7. Conflict with international law. The applicant must identify the applicable international law violated by the marking.

(f) The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

(g) If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

#### **i. Funding Restrictions**

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction is authorized under this award only under Component 3, subject to a Presidential Disaster Declaration.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic

code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

**j. Conflict of Interest Pre-Award Term**

(1) Personal Conflict of Interest

(a) An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

(b) The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

(c) Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

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## **SECTION E: APPLICATION REVIEW INFORMATION**

### **1. Criteria**

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be rated by a Selection Committee (SC) using the criteria described in this section.

### **2. Review and Selection Process**

Technical evaluations will be evaluated using an adjectival rating against each evaluation criterion and sub-criterion. To facilitate the review of applications, applicants are requested to organize the narrative sections according to the application format (Section D) and the merit review criteria.

#### **a. Merit Review**

USAID will conduct a merit review of all technical applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following criteria with information on the degree of importance. Factors 1 and 2 are of equal importance and are more important than Factor 3.

#### **Factor 1: Technical Approach**

Technical approach will be evaluated based on four (4) sub-factors as provided below in descending order of importance:

##### *Sub-factor 1.1: Component 1- Preparedness*

Applicants will be evaluated based on how well they demonstrate an understanding of the context of the Compacts, the OBP, and the methods to build capacity of the host governments. The evaluation will consider novel, flexible, and measured risk approaches to build capacity as positives when they are directly linked to evidence and a systematic process for decision-making. The evaluation will weigh the approach to long-term capacity building (outcomes) more importantly than the activities (outputs).

*Sub-factor 1.2: Component 2- Operational Readiness and Pre-positioning*

Applicants will be evaluated based on how well they demonstrate their ability to rapidly establish operational readiness throughout FSM and RMI and pre-positioning of assets. The evaluation will consider how well the applicant demonstrates understanding of the international standards related to humanitarian response, preparation, pre-positioning, procurement and logistics.

*Sub-factor 1.3: Component 3- Reconstruction*

Applicants will be evaluated based on how well they demonstrate their ability to manage risk with cost-benefit considerations. The evaluation will consider the approach to building back better to reduce impacts of future disasters, and will weigh sustainable approaches over expedience. The evaluation will consider the approach to appropriate technological and cultural designs, construction, operation, and maintenance.

*Sub-factor 1.4: Gender and Inclusivity*

Applicants will be evaluated based on how issues on gender and people with disabilities are analyzed, and will be responded to throughout the project cycle – planning, implementation, monitoring and evaluation, and the extent to which the application complies with the requirements of the USAID Gender and People with Disabilities Policies (including adoption of gender indicators, mainstreaming of gender and disabilities in the implementation plan and MEL Plan, and the checklists provided under the Harmonized Gender and Development Guidelines.

Across all sub-factors, applications should demonstrate the evolution and phasing down of USAID assistance, working to build the capacity and ownership of local stakeholders so they will be ready to take on disaster management responsibilities before the end of the Compacts.

**Factor 2: Management Plan and Implementation Schedule**

Factor 2 has three (3) sub-factors as provided below in descending order of importance:

*Sub-factor 2.1: Key Personnel*

Key personnel will be evaluated based on how well the applicant has matched the candidates for each key personnel positions with the qualification requirements provided in Section D.

*Sub-factor 2.2: Management Plan*

The Management Plan will be evaluated on the following:

- Applicant demonstrates a feasible approach to ensure effective coordination and collaboration with various partners, including host governments, other non-state organizations and other USG projects/activities.
- The extent to which the applicant demonstrates that its proposed use of subrecipients/consortium members/local networks (as applicable) will achieve the various results sought.
- The extent the applicant clearly articulates the roles and responsibilities of the home office and field-based staff, including their assigned management and decision-making authorities, and how its organizational structure will effectively and efficiently achieve the program objectives.
- Applicant demonstrates that its proposed staffing plan and staffing mix of skills and knowledge will enable the applicant to implement the proposed technical approach effectively.
- The operational efficiency and practicality of proposed operational base and/or warehouse locations proposed.

*Sub-factor 2.3: Implementation Schedule*

The applicant will be evaluated on the extent to which activities and deliverable timelines are logically and efficiently organized. The schedule of Component 1 activities should serve as a baseline that may be adjusted to build off the experiences of Component 2 and 3 activities. The applicant will be evaluated on their ability to rapidly establish the basis for all components in both FSM and RMI. Implementation of activities must be equitable across both nations and the numerous islands.

**Factor 3: Institutional Capacity and Past Performance**

Factor 3 have three (3) sub-factors as provided below in descending order of importance:

*Sub-factor 3.1: Component 2- Operational Readiness and Pre-positioning*

*Sub-factor 3.2: Component 3- Reconstruction*

*Sub-factor 3.3: Component 1- Preparedness*

Applicants will be evaluated on the degree to which it convincingly demonstrates, through past experience, that it possesses the institutional capacity to successfully implement the proposed interventions to achieve the program outcomes under each component.

Institutional capacity and past performance records for both prime applicants and its proposed subrecipients will be closely reviewed and evaluated for their relevance and performance experience on similar projects performed within the last 5 years. Relevance is defined as projects performed of a similar scope, magnitude and scale. Similarly, the applicant will be evaluated on whether it and its subrecipients (if any) have the technical and management experience and skills to implement the proposed interventions.

Performance information will be used for responsibility determination. USAID may use performance information obtained from sources other than those identified by the applicant. USAID will utilize existing databases of agreements performance information if any and solicit additional information from the references provided in and from other sources if an when the Agreement Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will not be evaluated favorably or unfavorably on past performance. In such cases, the applicant will be rated "neutral". The "neutral" rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.

#### **b. Business (Cost) Review**

There will be two aspects of cost review - cost realism and cost evaluation.

##### **(1) Cost Realism**

Cost realism will be conducted concurrent with the technical application review. Cost realism is an assessment of the accuracy with the proposed costs and represents the most probable cost of performance within the applicant's technical and management approach. Cost realism will be performed as part of the review process to:

- Verify the applicant's understanding of the activity objective;
- Assess the degree to which the cost application reflects the approaches and/or risk assessments made in the technical application as well as the risk that the applicant will provide the supplies or services for the offered cost; and
- Assess the degree to which the costs included in the cost application accurately represent the work effort included in the technical application.

(2) Cost Evaluation

Cost evaluation consists of validating the Non Federal entity's internal controls and determining cost reasonableness for its application in accordance with 2 CFR 200, ADS 303 or ADS 308 as applicable. Performing cost reasonableness analyses is essential to conclude that the amount of Federal financial assistance the Government will contribute to support an Applicant's budget is appropriate for the proposed activity. The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

Cost will be reviewed for general completeness, reasonableness, allowability, and allocability. The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

The final cost/business application will also be reviewed to ensure that all compliance requirements have been satisfied and the Agreement Officer can make an affirmative determination of responsibility.

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

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## **SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices**

USAID plans to award one (1) cooperative agreement resulting from this NOFO to the Apparently Successful Applicant (ASA) whose application best meets the merit review criteria (see Section E). The Agreement Officer will only do so after making a positive responsibility determination that the ASA possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability of funds and other assets provided by USAID.

USAID reserves the right to award any or more none of the applications.

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds.

Following the selection for award and successful negotiations, the ASA will receive an electronic copy of the notice of the award signed by the Agreement Officer which will serve as the authorizing document. No costs chargeable to the Cooperative Agreement may be incurred before receipt of a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

### **2. Administrative & National Policy Requirements**

The resulting award from this NOFO will be administered in accordance with the following policies and regulations, depending on the type of organization of the ASA.

- a. For US organizations: [ADS 303](#), [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S. Non-governmental organizations](#).
- b. For Non US organizations: [Standard Provisions for Non-U.S. Non-governmental Organizations](#).

c. For Public International Organizations: [Standard Provisions for Cost-Type Agreements with Public International Organizations](#).

See Annex 3, for a list of the Standard Provisions that will be applicable to any awards resulting from this NOFO.

d. 2 CFR 200, Subpart E – Cost Principles, [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl) as applicable.

e. 48 CFR 31.2, Federal Acquisition Regulations, and 48 CFR 731.2, USAID Acquisition Regulations-Cost Principles for Commercial Organizations as applicable.

### 3. Pre-Award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the ASA’s management and financial capabilities. If notified by USAID that a pre-award survey is necessary, the ASA must prepare, in advance, the required information and documents.

The additional documents that may be requested are By-laws, constitution, articles of incorporation, organizational policies on travel, procurement, financial management, personnel, etc. When requested, the ASA shall provide copies of the requested additional documents.

Please note that a pre-award survey does not commit USAID to make any award.

### 4. Reporting Requirements

#### a. Program Reporting

**Table 1: Program Reports and Schedule**

Report	Submission Date
Annual implementation plan (includes Gender and Environment Risk Mitigation Plans)	Initial within 45 days <sup>8</sup> of award Subsequently by October 31 of each year
Monitoring, Evaluation and Learning (MEL) Plan	Within 90 days of award

<sup>8</sup> Days refer to calendar days.

Report	Submission Date
Sustainability Plan	Within 60 days of award
Quarterly Reports (includes progress to date on sustainability, gender, and environment)	Within 30 days of the completion of a US fiscal quarter
Annual Reports (includes progress to date on sustainability, gender, and environment)	Within 30 days of the completion of a US fiscal year (September 30 of each year)
Close-out Plan	6 months prior to agreement end date
Final Report	Within 90 days of completion of agreement

- (1) Annual implementation plan – The Recipient is encouraged to design innovative implementation approaches to reach the desired results. The Recipient will develop annual implementation plans in concert with other key USAID/Philippines partners, and are aligned to each USG fiscal year of the agreement. ***Note: The draft Year 1 implementation plan (submitted during the application phase) will be finalized with the AOR within 45 days of award.***

The Year 2 implementation plan, and other subsequent implementation plans, will be prepared and submitted to the AOR no later than 45 days before the close of the current USG fiscal Year 1.

The implementation plan must include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the MEL Plan
- Timeline for implementation of the year’s proposed interventions, including target completion dates
- Information on how interventions will be put in place
- Gender action plan that will define how gender will be integrated in the activity cycle
- Environmental Risk Mitigation Plan (EMMP) which will describe how environmental compliance and climate risk management will be integrated into activity interventions
- Personnel requirements to achieve expected outcomes
- Details of collaboration with other major partners

- An annual budget with estimates of projected monthly expenditures.
- (2) Monitoring, Evaluation and Learning (MEL) Plan – Within 90 days of award, the Recipient will submit a MEL Plan for the life of the activity that derives from the activities outlined in the Activity Description. The MEL Plan will outline key program interventions, indicators of achievement, associated annual and life-of-activity targets and the learning agenda. The plan will be reviewed and approved by the AOR. **Note: The draft MEL Plan (submitted during the application phase) will be finalized with the AOR within 90 days of award.**
- (3) Sustainability Plan – The Recipient will submit a sustainability plan within the first 60 days of the agreement. This plan should describe specific interventions that are expected to be sustained after the Cooperative Agreement ends. The sustainability plan will be updated annually and progress and updates to the implementation of the plan should be reported on quarterly and annually as part of regular reports. **Note: The draft sustainability plan (submitted during the application phase) will be finalized with the AOR within 60 days of award.**
- (4) Quarterly and Annual Progress Reports –

Quarterly Reports – The Recipient will submit to the AOR and other relevant stakeholders, quarterly progress reports based on the USG fiscal quarters, i.e., Quarter 1 covers October – December; Quarter 2, January – March; Quarter 3, April – June, and Quarter 4, July – September. The quarterly report is due within 30 days after the fiscal quarter’s end. In lieu of the fourth quarter progress report, the Recipient will submit an Annual Report that covers the fiscal year that just ended. During the final year of implementation, the Recipient will continue to submit quarterly reports except for the fourth quarter when, instead of an Annual Report, the Recipient will be required to submit a Final Report (see letter item 6 below).

Annual Reports – The Recipient must submit the annual report no later than 30 days after the end of the fiscal year to cover annual performance from October – September of the fiscal year.

At a minimum, both quarterly and annual reports will contain:

- Progress (interventions completed, benchmarks achieved, and performance standards completed) made since the last report by region and province as applicable
- Problems encountered and whether they were resolved or are still outstanding

- Proposed solutions to new or ongoing problems
  - Success stories
  - Security concerns
  - Information on new opportunities for program expansion
  - Qualitative data on program achievements and results
  - The updated MEL Plan, as an attachment
  - Documentation of best practices that can be taken to scale
  - Progress to date on sustainability, gender and environmental risk mitigation plans
  - Update on monthly expenditures for the quarter vis-à-vis annual budget
- (5) Closeout Plan – No later than one hundred eighty (180) days prior to the completion date of the agreement, the Recipient will submit a demobilization plan for Agreement Officer approval. The demobilization plan shall include:
- Draft property disposition plan,
  - Plan for the phase-out of in-country operations,
  - Delivery schedule for all reports or other deliverables required under the agreement, and
  - Timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the Agreement Officer.
- (6) Final Report – At the end of the program period, the Recipient will prepare a final report for submission to the AOR, the Agreement Officer and other relevant stakeholders (i.e., GPH agencies like DOH and NEDA) which highlights accomplishments against implementation plans; gives the final status of the benchmarks and results; documents lessons learned during implementation and suggests ways to resolve constraints identified. The report will describe the achievements of the activity in light of the history of USAID programming, the legacy that USAID will leave in the TB sector and the status of the operating environment.

The Final Report must contain a three-page executive summary, an index of all reports and information products produced under the agreement and a summary of the activity's finances, disaggregated at the program area and contain, at a minimum:

- Total award budget
- Total funds awarded by USAID.

Within ninety (90) days following the estimated completion date of this award, the Recipient will submit one (1) original and two (2) copies of the Final Report to the AOR and one (1) copy to the Agreement Officer. In addition, one (1) copy will be submitted to the Development Experience Clearinghouse:

- Electronically: <http://www.usaid.gov/results-and-data/information-resources/development-experience-clearinghouse-dec>
- By U.S. Postal Service delivery to:

U.S. Agency for International Development  
Development Experience Clearinghouse  
M/CIO/ITSD/KM  
Ronald Reagan Building M. 01-010  
Washington, DC 20523-6100

Note: For the Quarterly, Annual and Final Reports, the following essential bibliographic information should be included on the cover page:

- Descriptive title;
- Author/s name/s;
- Award number;
- Recipient's name;
- Development Objective; and
- Date of publication or issuance date of the report.

**b. Financial Reporting:**

The Recipient will account for expenditures for interventions carried-out under this project to ensure funds are used for their intended purposes.

The Recipient shall submit Quarterly Financial Reports to USAID no later than ten (10) days prior to the end of each USG fiscal quarter. They should be disaggregated at the program area and contain, at a minimum:

- Total award budget;
- Total award funds obligated to date;
- Total funds previously reported as expended by main line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period;

- Total unliquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Estimated expenditures for remainder of project;
- Estimated fund support per location; and,
- Total obligated funds expended by main line item to date.

#### **4. Program Income**

Program income, which may be generated under this award, shall be accounted for in accordance with 2 CFR 200.307.e(2). It must be used for the purposes of the project and under the conditions of this award.

#### **5. Environmental Compliance**

- a. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Part 201.5.10g (<http://www.usaid.gov/sites/default/files/documents/1870/201.pdf>) and Part 204 (<http://www.usaid.gov/sites/default/files/documents/1865/204.pdf>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Cooperative Agreement.
- b. In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
- c. No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a determination of exemption, an approved Determination of Categorical Exclusion, Initial Environmental Examination (IEE), or Environmental Assessment (EA). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation".)
- d. An Initial Environmental Examination (IEE) contemplates that: Component 1 falls under Categorical Exclusion under 22 CFR 216.2(c)(2)(i); Component 2 falls under 22 CFR 216.2(b) Exemptions; and Component 3 falls under Negative Determination with

Conditions per 22 CFR 216.3(3)(iii). The Recipient shall be responsible for implementing all IEE conditions pertaining to interventions to be funded under this award.

- e. As part of its initial Annual Implementation Plan, and all Annual Implementation Plans thereafter, the Recipient, in collaboration with the AOR and Mission Environmental Officer (MEO) or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned interventions this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the Recipient plans any new interventions outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new interventions shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation, shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

- f. When the approved Regulation 216 documentation is (a) an IEE that contains one or more Negative Determinations with conditions and/or (b) an EA, the Recipient shall:
  - (1) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a program mitigation and monitoring (M&M) plan, the Recipient shall prepare an EMMP or M&M Plan describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed activity interventions within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
  - (2) Integrate a completed EMMP or M&M Plan into the initial implementation plan.
  - (3) Integrate an EMMP or M&M into subsequent Annual Implementation Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.
- g. Subaward Provision: A provision for subawards is included under this award: therefore, the Recipient will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be

funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of subgrant activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. Recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented.

The Recipient shall be responsible for periodic reporting to the USAID AOR, as specified in this award. Both the AOR and the MEO shall review the report but the MEO clears on the document.

## **6. Other Requirements**

### **a. Foreign Government Delegation to International Conferences**

Funds in the agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" at <http://www.info.usaid.gov/pubs/ads/300/refindx3.htm> or as approved by the Agreement Officer.

### **b. Salary Supplements for Host Government Employees**

Any payments by the Recipient to employees at any level of any foreign government shall be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the Agreement, the Recipient shall consult with USAID on any questions regarding the applicability of the policy.

### **c. Branding Strategy and Marking Plan**

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended and 2 CFR 700.16.

Under the regulation, *USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant,"* as defined in the regulation.

A Branding Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link:

<https://www.usaid.gov/ads/policy/300/320>.

The ASA's proposed Branding Strategy and Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 2 CFR 700.16. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 2 CFR 700.16. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 2 CFR 700.16(j).

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**SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)**

The USAID/Philippines contact for this NOFO is:

Title : The Agreement Officer  
Email Address : manila-roaa-rfa@usaid.gov copy furnish fcalixto@usaid.gov  
Postal Address : The Agreement Officer  
Regional Office of Acquisition and Assistance  
USAID/Philippines  
Annex 2 Building  
U.S. Embassy  
1201 Roxas Boulevard  
Ermita, Manila 1000

Please note that only the Agreement Officer is authorized to make commitments in behalf of USAID/Philippines and the Pacific.

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## **SECTION H: OTHER INFORMATION**

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

### Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the cover page with the following:

“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

**THE REMAINDER OF THIS PAGE LEFT BLANK INTENTIONALLY.**

**ANNEX 1 - MATERIALS/ASSETS TO BE TRANSFERRED TO RESILIENCE**

<b>Material/Asset</b>	<b>Qty</b>	<b>Location</b>	<b>Description</b>
Vehicle	3	1 in Chuuk, 2 in Yap	Nissan Frontier Cab
Forklift	2	1 in Chuuk, 1 in Yap	2.5T to 3T capacity
Container Truck/Van	4	3 in Chuuk, 1 in Yap	
Crane Truck	1	Yap	4T capacity
Dump Truck	1	Chuuk	5T capacity
Boat	3	1 in Yap, 2 in Chuuk	Open Passenger Skiff
	1	Yap	Aluminum Landing Craft
Barge	2	Chuuk	48" x 39" x 20"
Reverse Osmosis	9	6 in Yap, 3 in Chuuk	Aquamizer Plus 800 GPD Watermaker
Scaffolding	100 sets	Chuuk	
Printer	1	Pohnpei	LaserJet

**ANNEX 2 - OFDA COMMODITY CATALOGUE**

# OFDA Commodity Catalogue

## REV June 15, 2018



## BLANKET, WOOL



<b>Approximate Values Below</b>	Blanket, Wool
<b>Unit Value</b>	\$6.85
<b>Beneficiary/Unit</b>	2.5 persons per blanket
<b>Dimensions (cm) LxWxH</b>	61 x 56 x 91
<b>Weight (kg)/Unit</b>	43/Bale



## BLANKET, HIGH THERMAL FLEECE



<b>Approximate Values Below</b>	Blanket, High Thermal Fleece
<b>Unit Value</b>	\$6.99
<b>Beneficiary/Unit</b>	2.5 persons per blanket
<b>Dimensions (cm) LxWxH</b>	56 x 72 x 84
<b>Weight (kg)/Unit</b>	95/Bale



## BUCKET WITH LID



<b>Approximate Values Below</b>	BUCKET WITH LID
<b>Unit Value</b>	\$2.59
<b>Beneficiary/Unit</b>	2.5 Persons per Bucket
<b>Dimensions (cm) LxWxH</b>	122 x 102 x 108 (120 Buckets per Skid)
<b>Weight (kg)/Unit</b>	127 (120 Buckets per Skid)

## CHLORINE TEST KIT



<b>Approximate Values Below</b>	CHLORINE TEST KIT
<b>Unit Value</b>	\$12.00
<b>Beneficiary/Unit</b>	20 Tests per kit
<b>Dimensions (cm) LxWxH</b>	4 x 11 x 11
<b>Weight (kg)/Unit</b>	0.158

## DECONTAMINATION BUCKET



<b>Approximate Values Below</b>	DECONTAMINATION BUCKET
<b>Unit Value</b>	\$26.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	122 x 102 x 128 (27 Buckets per Skid)
<b>Weight (kg)/Unit</b>	102 (27 Buckets per Skid)

## HYGIENE KIT



<b>Approximate Values Below</b>	HYGIENE KIT
<b>Unit Value</b>	\$25.00
<b>Beneficiary/Unit</b>	Family Unit of 5 for 1 month
<b>Dimensions (cm) LxWxH</b>	Varies - Up to 108 x 127 x 120 (100 Kits per Skid)
<b>Weight (kg)/Unit</b>	Varies - Up to 1058 (100 Kits per Skid)

## KITCHEN SET



<b>Approximate Values Below</b>	KITCHEN SET
<b>Unit Value</b>	\$23.00
<b>Beneficiary/Unit</b>	Family of 5
<b>Dimensions (cm) LxWxH</b>	125 x 102 x 110 (60 Sets per Skid)
<b>Weight (kg)/Unit</b>	400 (60 Sets per Skid)

## PLASTIC SHEETING, ROLL (RRPS)



<b>Approximate Values Below</b>	PLASTIC SHEETING, ROLL (RPS)
<b>Unit Value</b>	\$365.00
<b>Beneficiary/Unit</b>	50 Persons per roll
<b>Dimensions (cm) LxWxH</b>	107 x 122 x 212 (10 Rolls per Skid)
<b>Weight (kg)/Unit</b>	552 (10 Rolls per Skid)

## SETTLING TANK



<b>Approximate Values Below</b>	SETTLING TANK
<b>Unit Value</b>	\$9,598.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	91 x 48 x 71 and 188 x 61 x 65 (2 Wooden Crates)
<b>Weight (kg)/Unit</b>	103 and 257 (2 Wooden Crates)



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## WATER BLADDER KIT



<b>Approximate Values Below</b>	<b>WATER BLADDER KIT</b>
<b>Unit Value</b>	\$3,027.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	Varies - Up to 118 x 81 x 42 (Wooden Crate)
<b>Weight (kg)/Unit</b>	Varies - Up to 186 (Wooden Crate)



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## WATER CONTAINER, 10L COLLAPSIBLE



<b>Approximate Values Below</b>	<b>WATER CONTAINER, 10L COLLAPSIBLE</b>
<b>Unit Value</b>	\$1.50
<b>Beneficiary/Unit</b>	1.2 Persons per 10L Container
<b>Dimensions (cm) LxWxH</b>	122 x 102 x 127 (600 Containers per Skid)
<b>Weight (kg)/Unit</b>	127 (600 Containers per Skid)

## WATER PURIFICATION TABLET



<b>Approximate Values Below</b>	<b>WATER PURIFICATION TABLET</b>
<b>Unit Value</b>	\$0.015 Cents/Tablet
<b>Beneficiary/Unit</b>	2 Tablets per Family per Day
<b>Dimensions (cm) LxWxH</b>	46 x 33 x 31
<b>Weight (kg)/Unit</b>	8

## EMERGENCY WATER TREATMENT UNIT



<b>Approximate Values Below</b>	<b>EMERGENCY WATER TREATMENT UNIT</b>
<b>Unit Value</b>	\$12,134.00
<b>Beneficiary/Unit</b>	4,000 Persons per 8 Hour Day
<b>Dimensions (cm) LxWxH</b>	Varies. Appx 9 Wooden Crates and 2 Skids
<b>Weight (kg)/Unit</b>	2,075

## WATER TREATMENT UNIT (LMS)



<b>Approximate Values Below</b>	WATER TREATMENT UNIT (LMS)
<b>Unit Value</b>	\$55,900.00
<b>Beneficiary/Unit</b>	10,000 Persons per Day
<b>Dimensions (cm) LxWxH</b>	420 x 211 x 213 (Trailer Unit)
<b>Weight (kg)/Unit</b>	1,800

## LATRINE SUPERSTRUCTURE



<b>Approximate Values Below</b>	LATRINE SUPERSTRUCTURE
<b>Unit Value</b>	\$84.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	122 x 102 x 73 (20 Units per Skid)
<b>Weight (kg)/Unit</b>	231 (20 Units per Skid)

## SQUATTING PLATE



<b>Approximate Values Below</b>	SQUATTING PLATE
<b>Unit Value</b>	\$40.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	120 x 80 x 125 (35 Units per Skid)
<b>Weight (kg)/Unit</b>	242 (35 Units per Skid)

## INTERAGENCY EMERGENCY HEALTH KIT (IEHK)



<b>Approximate Values Below</b>	INTERAGENCY EMERGENCY HEALTH KIT (IEHK)
<b>Unit Value</b>	\$4,250.00
<b>Beneficiary/Unit</b>	10,000 persons for 3 months
<b>Dimensions (cm) LxWxH</b>	2 Skids, Multiple Boxes
<b>Weight (kg)/Unit</b>	870

## GENERATOR KIT



<b>Approximate Values Below</b>	GENERATOR KIT
<b>Unit Value</b>	\$2,418.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	Varies - Up to 122 x 83 x 79
<b>Weight (kg)/Unit</b>	182

## CHAIN SAW KIT



<b>Approximate Values Below</b>	Chain Saw Kit
<b>Unit Value</b>	\$963.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	122 x 107 x 130
<b>Weight (kg)/Unit</b>	203

## CONCRETE SAW KIT



<b>Approximate Values Below</b>	CONCRETE SAW KIT
<b>Unit Value</b>	\$2,500.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	117 x 110 x 113
<b>Weight (kg)/Unit</b>	194

## BOAT MOTOR



<b>Approximate Values Below</b>	Boat Motor
<b>Unit Value</b>	\$5,000.00
<b>Beneficiary/Unit</b>	N/A
<b>Dimensions (cm) LxWxH</b>	Varies - Up to 178 x 109 x 107
<b>Weight (kg)/Unit</b>	Varies - Up to 138

**ANNEX 3 - STANDARD PROVISIONS**

The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S., non-U.S. Nongovernmental organizations or Public International Organizations. (Note: the full text of these provisions may be found at:

<https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf>,  
<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>, and  
<https://www.usaid.gov/sites/default/files/documents/1876/308mab.pdf> ). The award will also contain the following “required as applicable” Standard Provisions:

**REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS**

Required	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
X		RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
	X	RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)

Required	Not Required	Standard Provision
	X	RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
	X	RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
X		RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
X		RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
	X	RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
X		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)

Required	Not Required	Standard Provision
X		RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
	X	RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
X		RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
X		RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

**REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS**

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT

Required	Not Required	Standard Provision
		(NONPROFIT) (JUNE 2012)
X		RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
X		RAA7. SUBAWARDS (DECEMBER 2014)
X		RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
X		RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
	X	RAA11. PATENT RIGHTS (JUNE 2012)
X		RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
X		RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
	X	RAA 14. COST SHARE (JUNE 2012)
X		RAA15. PROGRAM INCOME (DECEMBER 2014)
X		RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
X		RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)

Required	Not Required	Standard Provision
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	X	RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
X		RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
X		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

**REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR PUBLIC  
 INTERNATIONAL ORGANIZATIONS ORGANIZATIONS**

Required	Not Required	Standard Provision
	X	RAA1. INVESTMENT PROMOTION (APRIL 2018)
	X	RAA2. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS (AUGUST 2018)
X		RAA.3 PROHIBITION ON POLICE ASSISTANCE (APRIL 2011)
X		RAA.4 PROHIBITION ON ASSISTANCE TO MILITARY OR PARAMILITARY (AUGUST 2018)
X		RAA.5 PUBLICATIONS AND MEDIA RELEASES (APRIL 2011)
X		RAA.6 FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (AUGUST 2018)
	X	RAA.7 CONDOMS (SEPTEMBER 2014)
	X	RAA.8 PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (STANDARD) (SEPTEMBER 2014)
	X	RAA.8 ALT I. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ALT I – THE GLOBAL FUND TO FIGHT AIDS, TUBERCULOSIS AND MALARIA, THE WORLD HEALTH ORGANIZATION, AND ANY UNITED NATIONS AGENCY) (SEPTEMBER 2014)
	X	RAA.9 ABORTION AND INVOLUNTARY STERILIZATION RESTRICTIONS (AUGUST 2018)
	X	RAA.10 VOLUNTARY FAMILY PLANNING ACTIVITIES (AUGUST 2018)
		RAA.11 STANDARDS FOR ACCESSIBILITY FOR PERSONS

Required	Not Required	Standard Provision
		WITH DISABILITIES IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (STANDARD) (APRIL 2011)
X		RAA.11 ALT I. STANDARDS FOR ACCESSIBILITY FOR PERSONS WITH DISABILITIES IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (ALTERNATE I – DISASTER ASSISTANCE) (APRIL 2018)
TBD		RAA.12 REPORTING OF FOREIGN TAXES (STANDARD) (AUGUST 2018)
		RAA.12 ALT I REPORTING OF FOREIGN TAXES (ALTERNATE I – UN AND OTHER TAX-EXEMPT PIOS) (APRIL 2011)
	X	RAA.13 TRUST FUND ESTABLISHED BY UNITED STATES CONTRIBUTIONS (AUGUST 2018)

#### **ANNEX 4 - ABBREVIATIONS AND ACRONYMS**

ADS	Automated Directives System
AO	Agreement Officer
AOR	Agreement Officer's Representative
ASA	Apparently Successful Applicant
CCA	Climate Change Adaptation
CFR	Code of Federal Regulations
COP	Chief of Party
CSO	Civil Society Organization
DCO	Disaster Coordination Office
DCOP	Deputy Chief of Party
DECCEM	Department of Environment, Climate Change, and Energy Management
DHS	Department of Homeland Security
DM	Disaster Management
DRRP	Disaster Relief and Reconstruction Plan
DUNS	Data Universal Numbering System
ENSO	El Niño Southern Oscillation
FAA	Foreign Assistance Act
FEMA	Federal Emergency Management Agency
FSM	Federated States of Micronesia
GIS	Geographic Information System
IEE	Initial Environmental Examination
JDA	Joint Damage Assessment
LGBTQI	Lesbian, Gay, Bisexual, Transgender, Questioning (or Queer), Intersex
MEL	Monitoring, Evaluation and Learning
NCAGE	NATO Commercial and Government Entity
NDMO	National Disaster Management Office
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement

NOFO	Notice of Funding Opportunity
OBP	Operational Blueprint
OFAC	Treasury Department's Office of Foreign Assets Control
OFDA	Office of U.S. Foreign Disaster Assistance
PDD	U.S. Presidential Disaster Declaration
PDF	Portable Document Format
POC	Point of Contact
PREPARE	Disaster Preparedness for Effective Response
PWD	People With Disabilities
RESILIENCE	Disaster Resilience in the Compact Nations
RMI	Republic of Marshall Islands
ROP	Response Operations Plan
SAM	System for Award Management
SF	Standard Form
SOP	Standard Operating Procedures
TC	Tropical Cyclone
USAID	United States Agency for International Development
USG	U.S. Government