



**USAID**  
FROM THE AMERICAN PEOPLE

**OFFICE OF ACQUISITION AND ASSISTANCE**

**Subject: Amendment No. 02 to Annual Program Statement Number 7200AA19APS00012**  
New Partnerships Initiative (NPI): Conflict Prevention & Recovery Program (CPRP)

**Issuance Date of Amendment No. 02: Thursday, April 22, 2021**

**Deadline for Questions: June 11, 2021**

**Closing Date and Time: April 29, 2022, 5:00 PM Eastern Standard Time**

Dear Prospective Applicants:

The purpose of this **Amendment No. 02** is to amend the **Annual Program Statement (APS) Number 7200AA19APS00012** New Partnerships Initiative (NPI): Conflict Prevention & Recovery Program (CPRP) as follows:

- 1) **Delete** “Closing Date: April 29, 2021” and **Replace** it with “Closing Date: April 29, 2022”;
- 2) **Delete** “Deadline for Questions: June 1, 2020” and **Replace** it with “Deadline for Questions: June 11, 2021”;
- 3) **Delete** the second paragraph of the Cover Letter in its entirety and **INSERT** the following paragraph in lieu thereof:

“Through this Annual Program Statement (APS), USAID announces its desire to engage new and under-utilized partners to expand and amplify the Agency’s work, particularly in contexts at the risk of, or recovering from, conflict or violence. The overall Agency NPI seeks to achieve sustainable and resilient results and catalyze more effective partnering for impact.”

- 4) **Delete** the Supervisory Agreement Officer “Charles S. “Chuck” Pope” and **Replace** it with “Jennifer Crow”.
- 5) Revise Section I.A language to better reflect Agency policies and priorities related to engaged new, underutilized, and non-traditional partners;
- 6) Revise Section I.B language to:
  - a. Update forms of engagement to match New Partnerships Initiative criteria, including:
    - i. Merging *Partnership Modality 1: Direct Awards to New and Underutilized Local Partners* and *Partnership Modality 2: Direct Awards to New and Underutilized Locally-Established Partners* from the previous APS into 1) Direct awards to New and Underutilized Partners.
    - ii. Simplifying *Mentoring Awards* to allow prime and sub-partners to agree on level of involvement from prime partner and to streamline amount of award that must be passed through to sub-awards (all mentor awards must meet 50% minimum pass-through vice 50% or 75%).
- 7) Revise Section I.D language to include the option of a “Refinement Period” and include language regarding “Accountability to Affected Populations”.

- 8) Revise Section II.C language to include specific reference to Renewal Awards of Fixed Amount Awards.
- 9) Revise Section III.A language to update criteria for each form of partnership to match ADS policy and guidance from the New Partnerships Initiative team in the Bureau for Democracy, Development, and Innovation (DDI). ;
- 10) Revise Section IV.B language to allow USAID the right to invite successful applicants to co-create their full applications and award documents.
- 11) Revise Section IV-Attachment 1 to better align with Agency policy priorities and ensure Eligibility Criteria Form language matches new language in Section I.B and III.A;
- 12) Revise Section V.A to better align with Agency policy priorities. and
- 13) Amend the Annual Program Statement Number **7200AA19APS00012** (APS NPI: CPRP) accordingly. Changes in the APS NPI: CPRP are highlighted in **yellow**.

This **Amendment No. 02** to APS **7200AA19APS00012** supersedes the previous version. Except as specifically amended above, all other terms and conditions of the Annual Program Statement Number **7200AA19APS00012** remain unchanged.

Sincerely,



Jennifer Crow  
Supervisory Agreement Officer

**U.S. AGENCY FOR  
INTERNATIONAL DEVELOPMENT**

**New Partnerships Initiative (NPI):  
Conflict-Prevention and Recovery Program (CPRP)**

**ANNUAL PROGRAM STATEMENT NUMBER 7200AA19APS00012**

**Amendment No. 02**

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## **SECTION I: PROGRAM DESCRIPTION**

### **A. BACKGROUND**

The U.S. Agency for International Development is issuing this APS pursuant to the Foreign Assistance Act (FAA) of 1961, as amended. The Agency will administer any resulting awards in accordance with Part 200 of Title 2 of the Code of Federal regulations (CFR), Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Part 700 of Title 2 of the CFR; Standard Provisions for U.S./Non-U.S. Organizations; as well as the additional requirements in Section VI of this APS, Information on the Administration of Federal Awards.

#### New Partnerships Initiative (NPI)

As part of the USAID Acquisition and Assistance Strategy, USAID is diversifying and changing how it partners. One of USAID's priorities is to make it easier for the Agency to invest in new and non-traditional development actors, based on the belief that engaging a larger and more diverse partner base will expand the available ideas, capabilities, and networks to address shared development challenges. USAID is changing how it partners by empowering in-country partners to lead in their own development through the adoption of fit-for-purpose awards and instruments of partnerships, enhanced collaboration and use of co-creative approaches, and strengthened local capacity development.

To increase our programmatic impact, based on more collaborative and adaptive partnerships, and improve measurable outcomes at the country level, NPI emphasized the following: 1) Leveraging private development assistance to respond to United States and partner country priorities; 2) Equipping and empowering long-term partners, especially development partners that are new to, or underutilized by USAID, in order to maximize the impact of American tax dollars; 3) Supporting solutions to near- and long-term U.S. and partner country priorities that will advance national security; 4) Identifying development solutions that will be country- and partner-driven for maximum long-term impact; and 5) Creating incentives and managing risk for expanding and diversifying USAID's partner base so that we help to equip and fund more local and locally established partners to support country-level progress.

This Annual Program Statement (APS) for the New Partnerships Initiative: Conflict-Prevention and Recovery Program (CPRP) is a result of these efforts and hopes to serve as a springboard for specific needs USAID can help address to achieve locally-sustained results -- helping countries mobilize public and private resources, and strengthening local capacities.

#### Conflict-Prevention and Recovery Program (CPRP)

The need to attract and better deploy new, non-traditional, and local partners can be particularly important in countries that are at risk of, or recovering from, violence and conflict, which make up the majority of countries where USAID operates. Environments vulnerable to violence and conflict often face unique constraints, such as weak or undermined institutions, increasingly frayed social fabric, and/or the presence of spoilers who seek to exacerbate

grievances or pre-existing cleavages in society. In these contexts, organizations with trust and credibility in local communities are often best-positioned to lead efforts aimed at preventing violence, resolving conflict, building peace, or addressing grievances. Similarly, in places that are emerging from conflict or crisis, formal institutions are often overwhelmed and incapable of responding, and external organizations that have not conducted an adequate conflict - analysis exercise can struggle to understand complex local dynamics (and even risk doing harm when attempting to help). Given those challenges, USAID recognizes that investing in partnerships with new and underutilized organizations with deep connections to the target communities should be at the forefront of our response in these situations.

This is not a new realization or phenomenon. As USAID realized that many assistance programs were insufficiently flexible to respond to unforeseen shocks, the Agency developed some highly effective rapid-response and stabilization capabilities. These instruments alone, however, are insufficient to meet the scale of needs around the globe. Additionally, existing responsive and stabilization capabilities have some inherent structural limitations that prevent them from providing robust financial support to local actors. That has resulted in a gap between long-term, Mission-led development portfolios and the short-term prevention and stabilization tools. This gap is often referred to as the “missing middle.” To address this problem, USAID needs more avenues through which outside organizations can propose local- and partner-driven solutions, in any sector, and faster, less-rigid processes through which all parties can collaborate on designing effective **interventions**.

## **B. PURPOSE**

### New Partnerships Initiative (NPI)

**The overarching goal of the NPI/CPRP APS is to empower new and non-traditional partners, many of which are local entities or locally-established organizations, to solve problems in any sector not adequately addressed by other USAID investments and that directly respond to the needs of countries affected and/or impacted by conflict or violence.**

### NPI/CPRP Approach

The Center for Conflict and Violence Prevention (CVP) envisions three specific forms for USAID engagement with new and non-traditional partners, with each type of partnership offering a different entry point for working directly or indirectly with the partner. Indirect engagement is achieved through established partners already familiar to USAID, as defined and outlined below. Organizations only need to qualify under one of the **three** forms of partnership listed under this NPI/CPRP APS:

1) Direct Awards to New and Underutilized Partners (NUPs). Approach #1 focuses on empowering partners with strong local ties to communities, and relies heavily on these partners during co-creation processes to offer innovative ideas and solutions to the development challenges outlined in addenda. Under Approach #1, awards may be issued only to Prime recipients that meet one or more of the definitions provided in Section III A.

2) **Mentoring Awards.** Approach #2 will allow established partners to partner with local and non-traditional partners to implement programs on behalf of USAID that have measurable impact. Established partners will primarily play a support role to empower new and underutilized partners. To ensure meaningful involvement of sub-partners, the prime awardee will pass a minimum of 50% of the total funding of their awards to sub-partners. Addenda under this APS must maintain the 50% threshold and may emphasize numerous subaward purposes, including capacity building, establishing MEL platforms, developing local networks, or other purposes that support greater locally led development.

3) **Leverage Awards.** Leverage Awards allow for partners of any type to serve as Prime recipients without eligibility restrictions, but requires that Primes or a Resource Partner meet a minimum of a 1:2 cash or in-kind leveraging of non-USAID public or private sector resources.

**USAID may structure awards under this program in different ways, as discussed in Section III of this APS.**

Partnerships developed under NPI-CPRP are **expected to contribute** to objectives connected to preventing and recovering from conflict, as defined in specific Addenda. USAID Missions or Bureaus (“Operating Units”) that issue Addenda have broad latitude under this program to define “prevention” and “recovery” objectives related to their specific contexts and should not be constrained by language or illustrative approaches described in this document. Operating Units may solicit, and Applicants may propose, under this APS, work in sectors such as health, education, or livelihoods that are addressing prevention or conflict.

However, for the purposes of establishing a common understanding, Operating Units and Applicants should view “prevention” as an umbrella term that includes the prevention of violence and conflict and approaches to mitigate them, defined by an inter-agency U.S. Government working group, as follows: efforts designed to disrupt likely pathways to escalating violence, including by enhancing or creating the capacity and will among local actors to constructively manage conflict. “Primary prevention” occurs before significant violence emerges (above normal levels). “Secondary prevention” involves preventing the escalation or spread of significant emergent violence before it becomes large-scale or widespread. Similarly, conflict mitigation encompasses efforts designed to halt the escalation and spread of existing large-scale violence, including by enhancing or creating capacity and will among local actors to protect civilians and create and engage in peacebuilding processes.

“Recovery” can also take many forms, but generally encompasses those efforts designed to respond to shocks including new or challenging disease burdens, rebuild livelihoods, reestablish citizen security, restore trust in institutions, seek accountability for perpetrators of violence, and help societies move past periods of violence or instability. Current responses to COVID-19 would qualify for this program.

- **What are the basic requirements of an NPI partnership?**

In addition to aligning with the specific development objectives and requirements in an Addendum, NPI partnership proposals must do the following:

Reflect one (1) of the following three (3) forms:

1. Direct Awards to New and Underutilized Partners (NUPs)
2. Mentor Awards; OR
3. Leverage Awards;

NPI partnership applications also must reflect all three (3) of the following requirements:

1. Define a measurable impact, including where appropriate the measurement of the strengthening of capacity of local organizations (local entities and LEPs at any level of an award), using the Agency indicator, Capacity Building for Local Development (or CBLD-9);
2. Have an implementation plan that will achieve the proposed programmatic objectives within a 60-month period; and
3. Include a commitment to the principles of Collaborating, Learning, and Adapting: <https://usaidlearninglab.org/qrg/understanding-cla-0>

### **C. PROGRAMMATIC AND GEOGRAPHIC FOCUS**

This NPI/CPRP APS provides the broad framework for USAID’s interest in supporting partner-driven solutions, diversifying the partner base, and leveraging private development resources as described in Section I.B of this APS. This umbrella solicitation establishes the overall purpose, criteria, process, and rationale under which the Agency’s Operating Units will issue specific and to-be-determined requests (referred to as Addenda).

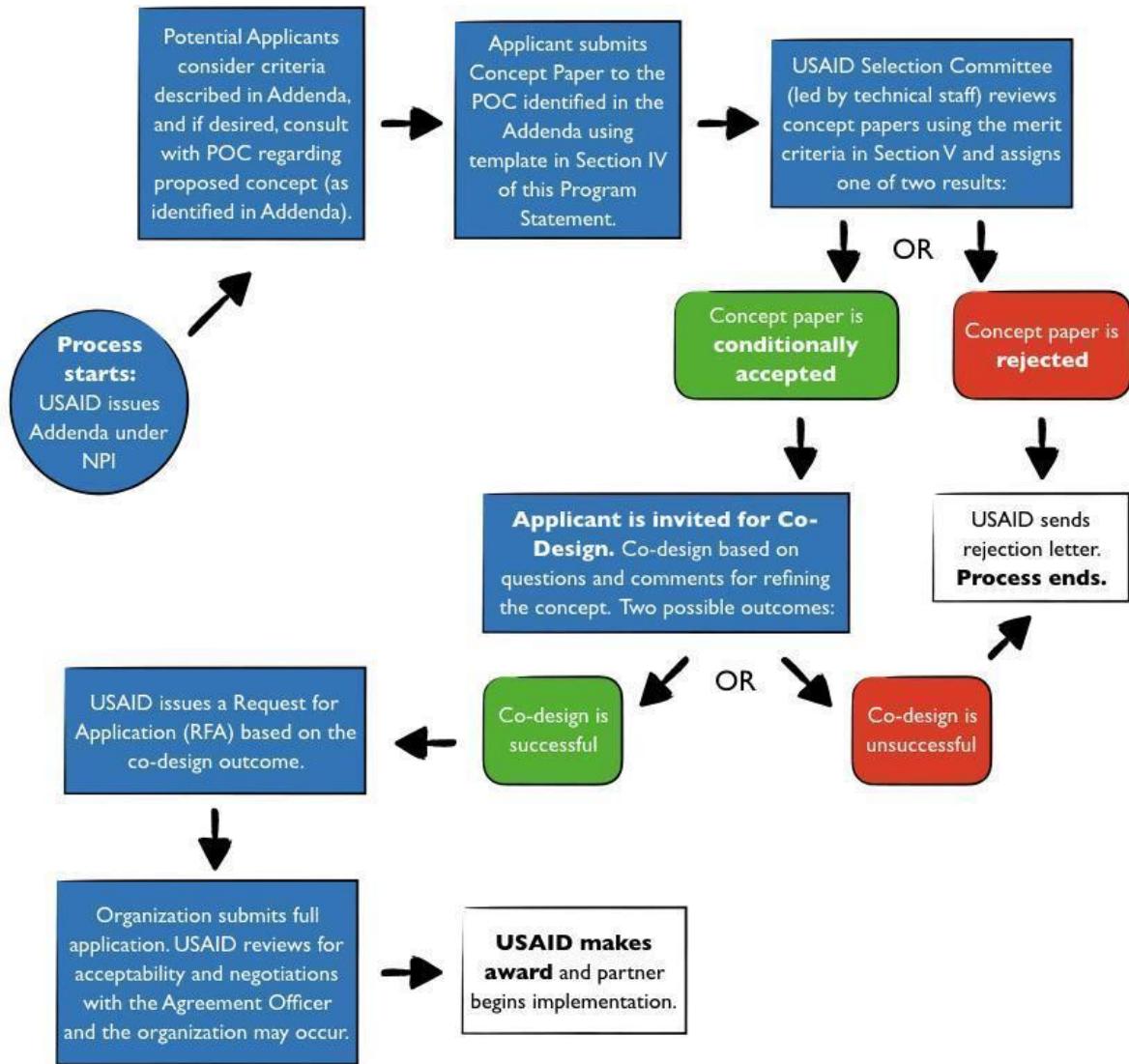
This NPI/CPRP APS describes the process through which organizations can work with USAID to achieve sustainable development outcomes, results, and impact. **This APS itself is \*not\* a request for concepts.** USAID is under no obligation to review general concepts submitted under this overall program statement, or to provide feedback for such submissions. USAID will \*only\* accept applications for awards under the NPI/CPRP based on specific guidance provided through separate Addenda, issued by USAID Mission, Bureau, or Independent Office (B/IO) under this overall NPI-CPRF frame.

USAID will express specific programmatic and geographic priorities through individual Addenda, issued on an as-needed basis, which reflect the particular programmatic or geographic focus of a USAID Mission, or B/IO. This approach will ensure that specific Addenda reflect the objectives and nuances of each unique environment, and that USAID Missions or B/IOs are in a position to review and issue awards for those applications (with assistance from USAID Washington when necessary).

### **D. WHAT IS THE PROCESS?**

USAID has outlined the process through which potential applicants may apply under potential Addenda in Section IV of this APS. It is important to note that Missions and B/IOs are responsible for conducting all necessary requirements, including environmental and gender, prior to obligation of funding.

The diagram in Figure 1 below is a summary:



Extensive Partnership: Co-Creation and Shared Responsibility

To foster sustainable and transformational development impact in unstable or post-recovery countries, NPI/CPRP awards shall entail extensive partnering and collaboration between USAID Missions or B/IOs and the Applicant from design to implementation. Ideally, the applicable USAID Mission or B/IO will identify and define jointly with the Applicant the development problems to tackle in the program, and then collaborate to determine whether and how to solve those problems and achieve the greatest degree of measurable, sustainable impact. USAID Missions

or B/IOs share risks and responsibilities with the Applicant, and both work together to mobilize, leverage, and apply more effectively each other's respective assets, expertise, and resources.<sup>1</sup> Awards should be co-created, co-developed, and co-implemented. This means that, rather than telling Applicants how USAID wants to solve a problem, the Agency presents a challenge and solicits the best ideas for how to address it, and works from concept to issuance and then management of awards in an iterative, participatory, and collaborative process.

USAID may utilize a "Refinement Period" in any subsequent awards. A "Refinement Period" provides partners the opportunity to carry out a number of tasks that will help the partner and USAID identify specific objectives and targets to achieve through the program. During this period, Recipients will lead or carry out a number of tasks, including:

-Pre-implementation formative research and analysis that addresses evidence and knowledge gaps, and strengthens understanding of local context, and helps to prioritize behaviors the activity will address;

-Small-scale operational research, piloting implementation strategies, and start-up of proven, evidence-based implementation strategies;

-Meaningful community engagement to 1) enable two-way feedback and participation around the planned activity, interventions and refinement period, 2) enhance Mission and activity understanding of local needs, opportunities and aspirations, and 3) ensure mutual accountability, including in decision making processes.

-Participatory stakeholder engagement for strengthened local partnerships, capacity development and coordination;

-Collaborating and planning with relevant Mission activities to 1) identify areas for strategic collaboration, (2) effectively layer and leverage other USAID programming, (3) create lines of communication with other activities;

-Refining the TOC and implementation plans (including with other Mission partners in the districts of engagement); and

-Preparation for implementation through hiring, staff training, and procurement of goods and services."

### Do No Harm (DNH)

Throughout a Concept Paper (and subsequent application), an Applicant should reflect thoughtful consideration of any risks that could result by bringing together conflicting parties and should provide sufficient explanation of how it will establish and monitor appropriate safeguards to avoid intensifying the conflict or creating harmful situations for participants.

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<sup>1</sup> Refer to Parts 200.205, 200.207 of Title 2 of the CFR and ADS Chapter 303.3.9 for additional information.

DNH should not be an isolated discussion in a Concept Paper or subsequent application; Applicants should address it holistically, especially if they successfully complete co-creation and are invited to submit a full application.

Any activity implemented under this APS will become part of a local conflict or post-conflict context. Thus, Applicants should analyze the impact of planned activities with regard to how they will affect the local conflict or post-conflict environment, and how the environment will affect activities. It is not satisfactory to simply indicate the program will “Do No Harm.”

Thoughtful analysis and specific examples of how an Applicant will integrate DNH measures into all activities is necessary. Applicants should explain how the proposed program will not exacerbate tensions in a way that will spark further violence or, at the very least, explain how the applicant will mitigate against any risks<sup>2</sup>, and ensure the program will not place individuals or communities at greater risk.

Applicants should also describe how they plan to monitor (perhaps through indicators) and adapt their DNH strategies and approaches to ensure DNH throughout all stages of design, implementation, and monitoring and evaluation.

#### Accountability to Affected Populations (AAP)

USAID may require, in the Concept Note phase or subsequent application, an AAP plan or framework that is specific to the interventions included in the application. The plan or framework may be included as an annex, not to exceed two pages, and describe:

How the affected population, including marginalized or vulnerable groups, will participate in and play an active role in decisions related to the activity design and implementation;

What specific mechanisms are in place to provide timely and accessible information, and to receive and respond to beneficiary feedback throughout the duration of the activity;

How Applicant will track feedback and respond in a timely manner;

How Applicant will incorporate beneficiary feedback into activity implementation, monitoring and evaluation of progress, and designing course corrections as needed;

How Applicant will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries, especially marginalized or vulnerable populations;

How Applicant will ensure confidentiality and respond to any critical or sensitive program irregularity or protection issues that arise.

**[END OF SECTION I]**

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<sup>2</sup> <https://www.usaid.gov/policy/risk-appetite-statement>

## **SECTION II: INFORMATION ON FEDERAL AWARDS**

This program is authorized in accordance with the Foreign Assistance Act (FAA) of 1961, as amended. Issuance of this Program Statement and/or related Addenda do not constitute an award commitment on the part of the U.S. Government, nor do those commit the U.S. Government to pay for any costs incurred in the preparation or submission of questions, comments, suggestions, or an application. Applicants submit Concept Paper applications at their own risk, and all preparation and submission costs are at their expense, unless otherwise noted in specific addenda.

This APS is **not** a request for Concept Papers. Applicants must provide Concept Papers in response to, and in accordance with the instructions provided in, a specific Addendum. Specific information and instructions for awards under this APS will appear in individual Addenda.

USAID intends that this APS will provide for full-and-open competition for responsible, qualified Applicants.

### **A. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED**

The NPI/CPRP APS is not supported by specific funds. Any funding for proposed programs under this APS will come through the specific Addenda issued by USAID Missions or B/IOs.

Proposed Concept Papers, as submitted to the appropriate Addendum, should meet minimum and maximum application funding amounts as described in each Addendum.

### **B. START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS**

Concept Papers must offer a period of performance in accordance with the guidance provided in an Addendum. The initial period of performance must be 60 months or less. USAID anticipates making the first awards within six (6) months after the effective date of the first Addendum.

### **C. TYPE OF INSTRUMENT**

Awards that result from this APS may take the form of a grant (including but not limited to a fixed-amount award) or cooperative agreement (including, but not limited to, framework agreements or Leader with Associates awards) **as well as Renewal Awards or Fixed Amount Awards**. Each Addendum will define the types of award instruments available for potential partners.

**[END OF SECTION II]**

## **SECTION III: ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

NPI defines “Implementing Partners” as any organization, either U.S. and international non-governmental organizations, that can design and implement assistance activities outside the United States. All potential Applicants are eligible to submit a Concept Note, provided they follow all requirements and instructions provided in the individual Addendum to which they are applying. Each Addendum may further restrict eligibility if the Mission or B/IO determines it is in its best interest.

To be eligible, all Implementing Partners must be legally registered entities under applicable law. Individuals, unregistered, or informal organizations are not eligible to be Implementing Partners.

Partnering Approach 1: Direct Awards to New and Underutilized Local Entities:

The central purpose of NPI is to diversify USAID’s partner base to incorporate more creative and innovative approaches to support governments, civil society, and the private sector to address development challenges.

Under Approach #1, awards may be issued only to Prime recipients that meet one or more of the definitions below:

New or Underutilized Organizations: Organizations that have received less than \$25 million cumulatively in direct or indirect awards from USAID over the past five years.

Local Entities: An individual or organization that -

1. Is legally organized under the laws of a country that is receiving assistance from USAID;
2. Has its principal place of business or operations in a country receiving assistance from USAID;
3. Is majority-owned by individuals who are citizens or lawful permanent residents of a country receiving assistance from USAID; and
4. Is managed by a governing body, the majority of whom are citizens or lawful permanent residents of the country receiving assistance from USAID.

Locally Established Partners (LEPs): A U.S. or international organization that works through locally led operations and programming models. LEPs -

1. Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following;
2. Local staff comprises at least 50% of office personnel;
3. Maintenance of a dedicated local office;
4. Registration with the appropriate local authorities,
5. A local bank account; and
6. A portfolio of locally implemented programs.

7. Have demonstrated links to the local community, including:
  - a. If the organization has a governing body or board of directors, then it must include a majority of local citizens (in the host country, this is not required);
  - b. A letter of support from a local organization to attest to its work; or
  - c. Other criteria that an organization proposes to demonstrate its local roots.

Applicants must comply with applicable local laws, including on taxation. USAID advises prospective Applicants to consult local counsel on these issues in the Concept Paper phase.

#### Partnering Approach 2: Mentoring Awards

Established partners can submit a Concept Note to propose a program in which it serves primarily a mentorship or support role for local or locally-established new and non-traditional partners. NPI intends for mentor primes to establish sub-awards that will focus on empowering local organizations to achieve clear and visible outcomes and impact in their communities. To ensure sub-awards are properly resourced and responsible for a meaningful programmatic role, prime awardees must pass a minimum of 50 percent of the total funding of their awards to local sub-awardees.

#### Partnering Approach 3: Leverage Awards:

NPI also seeks to fund awards with new or established partners that can leverage their own private (or non-U.S. Government) funding, in recognition of the important dual-role that many partners have as both implementers and fundraisers. Organizations of all types (non-profit, private-sector, host governments, *etc.*) can apply. Awardees must propose additional leveraged funds worth a minimum of 50 percent of the total value of the award they seek from USAID; this can include in-kind contributions, non-Federal grants, and external awards.

Leveraged funding will not be added or included in any USAID award (as is the case with “matching” requirements), nor will it be subject to USAID audit or oversight. Any specific cost-sharing or matching requirements for entities will appear separately in individual Addenda.

Concept Papers submitted to Addenda issued under this NPI/CPRP APS must follow all instructions in this Program Statement, and should address the Merit Review criteria in Section V. Since USAID is soliciting Concept Papers that conform to specific structures for “partnerships”, the following graphic depicts several types of submissions that USAID is accepting under this APS. Each Addendum will provide limits, if any, on the number of proposals a single organization or individual may submit.

Organizations or individuals that do not meet the stated criteria listed above under “Direct awards to new and underutilized organizations”, “Mentor Awards”, or “Leverage Awards”, are not eligible to apply.

There is no requirement for cost-sharing or matching in this APS. Addenda issued by Missions or other USAID Operating Units may require cost-sharing or matching. Instructions on such cost-sharing or matching will appear in each Addendum.

**[END OF SECTION III]**

## **SECTION IV: INFORMATION ON APPLICATION AND SUBMISSION**

### **A. AGENCY POINT OF CONTACT**

Questions and Answers: Applicants should submit all questions regarding this APS in writing to the following:

Joy Burriss, Agreement Specialist  
U.S. Agency for International Development  
Office of Acquisition and Assistance  
1300 Pennsylvania Avenue, N.W., UA-11.2.3H  
Washington, D.C. 20523  
Tel: 202-916-2700  
Email: [npicprp@usaid.gov](mailto:npicprp@usaid.gov)

As a reminder, this NPI/CPRP APS is *\*not\** a request for Concept Papers. USAID is under no obligation to review general concepts submitted under this overall APS, or to provide feedback on such submissions (although it is the Agency's practice to do so). The Agency will *\*only\** accept applications for awards under the NPI/CPRP APS based on specific guidance provided through separate Addenda, issued under this overall NPI APS, which will include all required application and submission information.

The Agency will furnish promptly to all prospective applicants as an amendment to this APS any information concerning this APS given to a particular prospective Applicant, if that information is necessary in submitting applications, or if the lack of it would be prejudicial to any other prospective Applicant.

Applicants must submit Concept Papers to the e-mail address Point of Contact specified in each Addenda.

### **B. APPLICATION PROCESS**

Each Addendum will outline a three-phase process:

#### **PHASE 1: SUBMISSION OF CONCEPT PAPERS**

A Concept Paper is a short document, not to exceed five (5) pages, in which the Applicant provides an overview of its idea. USAID has provided a template in Paragraph C below.

Applicants may submit a Concept Paper in response to an active Addendum to the NPI/CPRP APS at any time. USAID will acknowledge the submission of Concept Papers within three (3) business

days. USAID will review Concept Papers against the merit-review criteria detailed in the NPI/CPRP APS and the relevant Addendum. Each Addendum to the NPI/CPRP APS will provide a timetable for reviewing Concept Papers against merit review.

USAID will provide individual results to each applicant within 20 workdays following the meeting of the Selection Committee or Technical Evaluation Committee. USAID will notify potential Applicants of significant changes in the review-process timeline through a written amendment to the relevant Addendum. USAID, at its sole discretion, reserves the right to review Concept Papers out of cycle.

USAID anticipates three (3) possible results from the Concept Paper merit-review process:

- **Conditional Acceptance** - Invited for Co-Creation: The Concept Paper generally meets the objectives of the Addendum, and receives strong ratings against the merit-review criteria in the NPI/CPRP APS and the relevant Addendum. Additional clarity is needed or opportunities for consortia to strengthen the application should be pursued. USAID invites the Applicant to engage in Co-Creation to address the weaknesses or opportunities it may identify. If the applicant concludes the Co-Creation process successfully, USAID will follow with a request for the submission of a full application.
- **Evergreening** - If USAID identifies opportunities to strengthen or fund an application by connecting with other USAID mechanisms, other potential funders, and/or external partners, USAID may make that application available internally or externally for appropriate consideration.
- **Rejection:** The Concept Paper does not meet the objectives of the relevant Addendum, and receives inadequate ratings against the merit-review criteria in the NPI/CPRP APS and the relevant Addendum. The USAID Mission or B/IO rejects the Concept Paper.

## **PHASE 2: CO-CREATION.**

Applicants whose Concept Papers USAID invites for Co-Creation will engage with the Agency to work through areas of weakness, respond to questions, and clarify aspects of the concept that are not clear. The Co-Creation process builds on a Concept Paper that has strength and potential; it is not intended to supplant Applicants' initiative, or build new concepts from the ground up. During this phase, Applicants will work with USAID technical teams to address issues such as impact indicators and the evaluation of their application. USAID envisages a product of the Co-Creation process that is a strong draft project description for the full application phase, as well as quantitative and/or qualitative indicators or performance milestones.

If an Applicant does not succeed at the Co-Creation phase, the process ends for that Applicant.

## **PHASE 3: FULL APPLICATION.**

If Applicants successfully complete Co-Creation, USAID will request a full application based on the consensus reached during Phase 2. At this point, USAID will issue a Request for Application (RFA) to the Applicant. The RFA will provide complete instructions for the submission of a full application. The full application will detail, and expand upon, the concept developed through co-creation. The full application also requires the Applicant to complete specific U.S. Government

forms, certifications and representations, and to provide some additional information USAID will need to move forward with an appropriate implementing instrument. USAID M/B/IOs reserve the right to invite a potentially successful applicant to co-create the full application or award documents.

During this period, the M/B/IO will be responsible for completing all pre-obligation requirements, such as environmental and gender reviews.

There are reasons why an Applicant could be unsuccessful at the full application phase. For example:

- The detailed program does not satisfy the criteria and definitions provided in the Concept Paper;
- A partner that is bringing additional, non-Federal, funds to the proposal drops out, or does not materialize, and the Applicant no longer meets the partner-eligibility criteria in Section I.B.;
- The Applicant cannot provide evidence that it is a legal entity in the country or countries for which it is submitting a proposal; or
- USAID has other concerns after conducting due diligence or pre-award surveys.

USAID reserves the right to make no award under this APS or any Addendum at any stage of the process.

### **C. CONCEPT PAPER APPLICATION CONTENT**

#### **D. CONTENT OF CONCEPT PAPERS**

Applicants should submit only the information and materials requested, and in the format specified below.

- Concept Papers MUST be written in the English language, and submitted electronically via e-mail in Word 2000 or Word 2003 text-accessible, or Adobe PDF.
- Concept Papers shall not exceed five (5) pages, using 1” page margins with 12-point font. Applicants must follow the format below.
- Clarity and specificity are important, as is ensuring that the narrative in the Concept Paper addresses the points outlined in this APS and any Addendum used to review the Concept Paper. During the merit-review process, USAID may reject for funding those Concept Papers that are vague or merely restate language found in this APS or any Addendum.
- USAID will not accept Concept Papers that are more than five (5) pages in length.

Attachment 1: **Concept Note** Template

[TITLE] IN [COUNTRY]

CONCEPT NOTE

**A. Application Overview** (Please complete the following questions below:)

1. **Proposed Activity Name/Title:** \_\_\_\_\_
2. **Explanation of Qualification Under Eligibility/Engagement Listed in Global NPI APS Section I & Section III** (Please provide as a separate document the completed Attachment 1, Eligibility Certification):  
\_\_\_\_\_
3. **Proposed Period of Performance** (i.e., start date and end date):  
\_\_\_\_\_
4. **Total Program Amount** (in USDs):  
\_\_\_\_\_
5. **Total Amount of Funding Requested from USAID and total amount leveraged** (if applicable), including from what source(s):  
\_\_\_\_\_
6. **Applicant Organization Name:** \_\_\_\_\_
7. **Applicant Contact Person** (name, phone, e-mail):  
\_\_\_\_\_
8. **Full Address for Applicant Organization:** \_\_\_\_\_
9. **Type of Organization** (e.g., US, non-US, multilateral, private, for-profit, non-profit) date of incorporation, etc.):  
\_\_\_\_\_
10. **(If Applicable) Name(s) of Partner(s) Organization(s)** (Applicants that are applying as Mentors will name Subpartners here;: \_\_\_\_\_

**B. Concept Introduction:** (approximately ½ page). Identify the problem you will address, linking it to one or more of the Addenda focus areas and briefly describe your intervention for tackling this problem. Describe why there is a strategic need for your concept, how it differs from alternatives, and any relevant partner-specific considerations for the problem or solution.

**C. Beneficiaries:** (approximately ½ page). Describe the types of benefits the intervention will produce and the types and range of people who will benefit from this intervention. Was the concept designed with end user input? Has it or can it be adapted to reach women and

men, indigenous people, and youth? How can the concept be scaled up to reach more people?

**D. Geographic Location:** (approximately ½ page). In what location(s) (e.g, Province, city) are you proposing to operate under this proposed partnership? Describe key elements of and actors in the geographic location(s) in which you propose to work. What are the biggest challenges and opportunities? Please provide a brief description of previous work experience in this geographic location.

**E. Intervention approach:** (approximately one [1] page) Building on the introduction, propose a Theory of Change for how this intervention will produce the desired impact in the focus area(s) identified. Briefly describe critical barrier(s) or problem(s), related to your focus area(s) that your concept addresses. Be sure to include information describing why the approach is creative or innovative, how it is potentially scalable, how capacity strengthening is factored into achieving outcomes, evidence to support it as a tested solution or as an intervention likely to have a significant development impact, and how it will be sustained. Include discussion of resiliency of this idea to conflict, the potential for this idea to create and/or resolve conflicts and how the idea and partners can adapt to these circumstances.

**F. Intervention results:** (approximately one [1] page) As specifically as possible, describe the anticipated outputs, outcomes, results and/or impact of the proposed intervention. What are the key, quantifiable metrics related to your project’s performance or expected performance? What is the scale needed to achieve results sufficient to address the problem? What are the baselines that you will measure before the project begins?

**G. (If applicable) Partner roles:** (approximately ½ page) Describe and define the role of other entities in the partnership. This must include a description of the leveraged funding, if necessary, or sub-partners if submitting a mentorship program proposal. It must describe how this meets the criteria for outline in Section I.B of this Program Statement).

**H. Applicant capacity:** (approximately ½ page). Describe organizational capacity – technical, managerial, financial, etc. – to carry out the proposed intervention. What is the business model for your innovation? Have you worked in this sector and/or geographic area?

Signature of individual with authority to obligate your organization.

## ELIGIBILITY CERTIFICATION FORM

Please check the appropriate box to certify eligibility for the type of partner that applies:

- (For Partners Applying as New/Underutilized Partner) We certify that we meet the criteria enumerated in Section III, Sub-Section A.*
- (For Partners Applying for a Mentorship Award) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization will use Mentoring Partnerships to provide sub-awards.*
- (For Partners Applying as Leverage) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization can demonstrate 50% of award value of this proposal using non-USAID funds.*

[END OF SECTION IV]

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## **SECTION V: INFORMATION ON THE REVIEW OF APPLICATIONS**

### **A. MERIT REVIEW CRITERIA**

USAID Missions and B/IOs will review for merit all Concept Paper applications that comply with the instructions in this Program Statement.

Each Addendum will specify merit-review criteria appropriate for their context. All Addenda must include the following review criteria:

<b>Merit Review Element</b>	<b>Definition</b>
<p><b>1. Degree to which program provides new or improved access to communities, constituencies, or key stakeholders affected by violence via new or underutilized local and/or locally-established partners.</b></p>	<p>The extent to which the proposed concept uses one or more new or underutilized partners (local or LEPs) to increase access to target communities, constituencies, or key stakeholders (on a scale of 1 - 3; 1) No additional benefit towards the accomplishment of the program’s objectives; 2) Some additional benefit toward the accomplishment of the program’s objectives; or 3) Significant additional benefit toward the accomplishment of the program’s objectives.)</p>
<p><b>2. Building Partner Country Capabilities and Commitment</b></p>	<p>The extent to which the proposed Concept Note’s proposed forms of engagement increase the likelihood that local and locally established partners or the affected communities themselves, will be able to continue the program’s activities and/or maintain its achievements without funding from USAID (on a scale of 1 - 3; 1) No or minimal chance of sustainment; 2) Some chance of sustainment; or 3) Significant chance of sustainment.)</p>

Each Addendum will provide a schedule for notifying Applicants of the conditional acceptance or rejection of their Concept Paper.

**[END OF SECTION V]**

## SECTION VI: INFORMATION ON THE ADMINISTRATION OF FEDERAL AWARDS

### A. FEDERAL AWARD NOTICES

The USAID Agreement Officer (AO) is the only individual who may legally commit the U.S. Government to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed award or a specific, written authorization from the AO. USAID will administer awards in accordance with Parts 700 and 200 of Title 2 of the CFR, and Standard Provisions for U.S./non-U.S. organizations.

### B. TYPE OF AWARD

USAID has a number of assistance award types to choose when providing funds under this Annual Program Statement to successful Applicants. The type of award and terms and conditions included therein depends upon the type of recipient organization, programmatic factors, and other due-diligence matters (including responsibility determinations.) The following is a matrix of commonly used awards, their general prescription for use, and key characteristics.

Award Type:	Generally Used When:	Characterized by:	More information:
Fixed-Amount Award (FAA)	Milestones can be defined; Adequate pricing information is available; Recipient has limited financial and management capacity. Must be a grant – not a cooperative agreement.	Advantages for both USAID and the recipient (when used appropriately). Milestones with fixed amounts assigned to each. Focus is on outputs and results; limits risk for both parties. USAID pays the grantee is when the Agency concurs the milestone is completed. Minimizes administrative burden on USAID and the grantee, since payment is not cost-reimbursement. Assists in building the institutional capacity of new grantees.	<a href="https://www.usaid.gov/ads/policy/300/303saj">https://www.usaid.gov/ads/policy/300/303saj</a>
Cooperative Agreement	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government	Recipient is free to pursue its sponsored program, with USAID’s Agreement Officer’s Representative (AOR) involved in defined technical areas (referred to as “substantial involvement”). Such involvement may include approval of annual work plans, approval of key personnel, authority to halt a construction project, and joint collaboration and participation (defined in the award and specific to the project)	<a href="https://www.usaid.gov/ads/policy/300/303">https://www.usaid.gov/ads/policy/300/303</a>
Cooperative Agreement/Grant with Continuing Application	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government and USAID will engage in and fund multiple years/an expanded program based on the success of the efforts and	The characteristics are the same as above, but the “continuing application” feature of this award means that implementers will “re-apply” for continuation of the program through an oral presentation of the annual report of previous years’ results and work plan for the next year. This type of award allows USAID to extend and expand the program easily, since this feature is built-in. It also allows USAID to end programs that do	

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	program during the initial year of the award.	not meet the potential or have the impact described during the Concept Paper and original award phase.	
Cooperative Agreement/ Grant with Adaptive Modules	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government, and USAID will engage in and fund multiple years/an expanded program based on the success of the efforts and program during the initial year of the award.	A grant that uses a modular construct that consists of a series of blocks of work or modules. Each module stands alone and produces some result, which could be administrative or technical. They could be deliverables or simply indicators that the proposed intervention(s) is/are on the right track. The important point is that the module can be defined by when it starts and when it stops. It can be time-based (for example, six-months long) or event-based (when the materials are ready). Each module is unique -- the type of result, method of measure, and time or event based depends on the needs of that specific module. At the conclusion of each module is a decision point. By examining the data and assessments, stakeholders, and decision-makers use the decision point to determine the direction of the subsequent module. During the implementation of the module, there is a parallel process for assessment, learning, and design for the subsequent module going on. The implementer must design Module 2 based on what was learned in Module 1.	
Grant	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government, and USAID will not be “substantially involved” in selected programmatic elements.		<a href="https://www.usaid.gov/ads/policy/300/303">https://www.usaid.gov/ads/policy/300/303</a>
Leader with Associates (LWA)	USAID will initially engage with a “leader” partner through a prime award with language that allows a Mission, Bureau, or other Operating Unit to make one or more separate associate awards without using restricted eligibility.	A LWA involves the issuance of a leader award that covers a specified worldwide activity. The leader award includes language that allows a USAID Mission, Bureau, or other Operating Unit to make one or more separate awards, called associate awards, to the recipient of the leader award without using restricted eligibility. The associate award must be within the terms and scope of the program description of the leader award and support a distinct local or regional activity. A leader award must have a program description and a budget with sufficient funds to carry out the program description in the leader award. USAID then can make associate awards without using fair-opportunity procedures.	<a href="https://www.usaid.gov/sites/default/files/documents/1868/303.pdf">https://www.usaid.gov/sites/default/files/documents/1868/303.pdf</a>
Renewal Award	Use of a renewal award allows an activity to be approved for a multi-year period (up to five years), or for additional activities or milestones within the five-	A renewal award (grant or cooperative agreement) allows a grant or cooperative agreement to adapt, within the five-year maximum period of performance, to changing contexts, lessons learned during implementation, and performance by related activities within a project that affect the overall effectiveness of	<a href="https://www.usaid.gov/sites/default/files/documents/1868/303.pdf">https://www.usaid.gov/sites/default/files/documents/1868/303.pdf</a>

	year period. This approach allows for adaptability of an activity, through redirection and establishment of new targets.	the initial award. A renewal award provides a specific level of support for an initial specified period of time or an initial set of programmatic activities and milestones, with a statement of intent in the NOFO of the possibility of a subsequent award to provide additional support for the project for succeeding periods, activities, or milestones.	
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**Award Discretion**

USAID reserves the right to make, or not to make, awards through this APS and any Addenda to it. The actual number of assistance awards, if any, under this APS and any Addenda is subject to the availability of funds, the interests and requirements of USAID, and the viability of applications received. There is no pre-defined minimum or maximum number of partners or partnerships USAID will support through this APS and any Addenda. However, USAID will not provide funds under this APS for products and services that it would otherwise purchase through a contract.

**Evergreening**

If USAID identifies opportunities to strengthen or fund a Concept Note or application either at a later date within the period of this APS, or by connecting it with other USAID mechanisms, other potential funders, and/or external partners, USAID may make that Concept Note or application available, internally or externally, for appropriate consideration.

**[END OF SECTION VI]**

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

Joy Burriss, Agreement Specialist  
U.S. Agency for International Development  
Office of Acquisition and Assistance  
1300 Pennsylvania Avenue, N.W., UA-11.2.3H  
Washington, D.C. 20523  
Tel: 202-916-2700  
Email: npicprp@usaid.gov

**[END OF SECTION VII]**

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## **SECTION VIII: OTHER INFORMATION**

### **A. FREQUENTLY ASKED QUESTIONS**

TBD

USAID reserves the right to fund any, or none, of the applications submitted.

**[END OF SECTION VIII]**

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## **APPENDIX A – ABBREVIATIONS AND ACRONYMS AND DEFINITIONS**

### **ACRONYMS**

AO	Agreement Officer
AOR	Agreement Officer's Representative
CSO	Civil-Society Organization
CPRP	Conflict-Prevention and Recovery Program
CSR	Corporate Social Responsibility
DO	Development Objective
EPP	Environment Partnership Program
EPPR	Effective Partnering and Procurement Reform
FAA	Foreign Assistance Act of 1961, as amended
GDA	Global Development Alliance
IEE	Initial Environmental Examination
IR	Intermediate Result
LEP	Locally Established Partner
MEL	Monitoring, Evaluation, and Learning
MOU	Memorandum of Understanding
NPI	New Partnerships Initiative
NUP	New and Underutilized Partners
PAD	Project-Appraisal Document
PPP	Public-Private Partnership
USAID	United States Agency for International Development
USD	U.S. Dollars
USG	United States Government

### **DEFINITIONS**

Local Entity	An individual, a corporation, a non-profit organization, or another body of persons that: (1) Is legally organized under the laws of; (2) Has as its principal place of business or operations in; (3) Is majority-owned by individuals who are citizens or lawful permanent residents of; and, (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country or countries in which the organization primarily will perform this award. For purposes of this provision, “majority-owned” and “managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers, or a majority of the organization's governing body, by any means.
Locally Established Partner	A U.S. or international organization that works through locally led operations and programming models and generates significant private

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	development assistance to strengthen capacity and commitment for self-reliance in partner countries. (Defined in ADS 303.6) <sup>3</sup>
Non-Local Entity/Established Partner	A partner that does not meet the definition of a Local or Regional Entity as defined by USAID’s Automated Directives System (ADS) Chapter 303.
New Partner	An organization that has never received direct or indirect awards from USAID.
Leverage	Significant resources mobilized from non-U.S. Government sources. USAID seeks the mobilization of resources of other actors on a 1:2 or greater basis ( <i>i.e.</i> , 50 percent of the proposed value of the award). Leveraged resources may not include in-kind contributions, but may include grants/awards from non-U.S. Government organizations and other donor governments.
Cooperative Agreement	A legal instrument used where the principal purpose is the transfer of money, property, services or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute and where substantial involvement by USAID is anticipated.
Grant	A legal instrument used when the principal purpose is the transfer of money, property, services, or anything of value to the recipient to accomplish a public purpose of support or stimulation authorized by Federal statute, and in which substantial involvement by USAID is not anticipated.
Partner	An organization or individual with which/whom the Agency collaborates to achieve mutually agreed-upon objectives, and to secure the participation of ultimate customers or beneficiaries. Partners include private voluntary organizations, indigenous and international non-governmental organizations (NGOs), universities, professional and business associations, and private businesses and individuals. For specific eligibility criteria for partners under this APS, see the relevant section on eligibility.
Partnership	An association between USAID, its partners, and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed-upon objectives.
Sub-award	An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible sub-recipient, or by a sub-recipient to a lower-tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is

<sup>3</sup> <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>

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	called a “contract,” but does not include the procurement of goods and services, nor does it include any form of assistance excluded from the definition of “award” in this section.
Underutilized Partner	An organization that has received less than \$25 million in direct or indirect awards from USAID over the past five (5) years.