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FROM THE AMERICAN PEOPLE

Date Issued: 15 February 2013
Request for Application Clarification Questions Due: 22 February 2013
Closing Date: 21 March 2013
Closing Time: <u>2:00 p.m. Manila, Philippines Time</u>

Subject: Request for Application (RFA) **<u>RFA-492-13-000002</u>**
RFA Title: Disaster Preparedness for Effective Response (PREPARE)

Dear Prospective Applicant:

The United States Government, represented by the United States Agency for International Development (USAID)/Philippines and the Pacific is seeking applications from nongovernmental organizations (NGOs), Public International Organizations (PIOs), or a consortium of local, international and/or U.S. firms. USAID desires to enter into a Cooperative Agreement with one organization to support USAID/Philippines and the Pacific' Office of Environment, Energy and Climate Change program entitled **"Disaster Preparedness for Effective Response (PREPARE)"**, specifically described in Section I of this RFA. The authorities for this RFA are found in the Foreign Assistance Act of 1961, as amended, and the Grants and Cooperative Agreement Act of 1977. This RFA is also being issued in accordance with the established format outlined in ADS 303.3.5.2 and the Office of Federal Financial Management Policy Directive on Financial Assistance Program Announcements.

USAID is seeking applications from eligible institutions as described in Section III of the RFA. This is a full and open competition, under which any type of organization, large or small, commercial (for- and non-profit), faith-based and partnerships may apply. In accordance with the Federal Grants and Cooperative Agreement Act USAID encourages competition in order to identify and fund the best possible responsible applicant to ensure achievement of the project objectives.

While for-profit organizations may participate in this action, pursuant to 22 CFR 226.81 it is the policy of USAID not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement and are in accordance with applicable cost standards (for example OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities) may be paid under the agreement.

Subject to the availability of funds, and if the application is determined suitable for funding, USAID anticipates the award of a cooperative agreement with an estimated amount not to exceed $19million over a five-year period. USAID reserves the right to fund any or none of the applications submitted. Applicants under consideration for an award that have never received funding from U.S. Government may be subject to a pre-award survey to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate. More specifically a pre-award survey team will examine the applicant's systems to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills — or the ability to obtain them — in order to achieve the objectives of the project.

U.S. Agency for International Development
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This RFA is being issued and consists of this cover letter and the following:

Section I	Program Description
Section II	Award Information
Section III	Eligibility Information
Section IV	Application and Submission Information
Section V	Application Review Information
Section VI	Award and Administration Information
Section VII	Agency Contacts
Section VIII	Other Information

For the purpose of this RFA the term "Grant" is synonymous with "Cooperative Agreement“; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

This RFA and any future amendments can be downloaded from http://www.grants.gov. Please select “Find Grant Opportunities”, click “Browse by Agency”, select “Agency for International Development”, and then search for the Request for Application number. If there is difficulty accessing this RFA please telephone the Grants.gov Helpdesk for technical assistance at 1-800-518-4726 or send an email via support@grants.gov. If after contacting the Grants.gov helpdesk an organization is still unable to retrieve this document please request an electronic copy of the by contacting USAID/Philippines and the Pacific/ROAA via email at ManilaPrepare@usaid.gov.

Any questions concerning this RFA should be submitted in writing to Mr. Franco Calixto via email at ManilaPrepare@usaid.gov. Questions sent to any other email address will not be answered. The email transmitting the questions must reference this RFA number and title “Disaster Preparedness for Effective Response (PREPARE)”. In the event of an inconsistency between the documents comprising this RFA it shall be resolved at the discretion of the Agreement Officer. The request for application clarification questions as well as full applications must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Any late or incomplete applications will only be considered at the discretion of the Agreement Officer. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or faxed applications (entire document) are not authorized for this RFA and will not be accepted.

The application shall be submitted in two separate parts and delivered within two separate envelopes (a) technical and (b) cost or business application. The technical application shall consist of one original, four copies and an electronic (email) copy. The cost or business application shall also consist of one original, one copy and an electronic (email) copy. Applications shall be submitted with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

Mail/Courier
Andrew Holland, CPCM
Supervisory Agreement Officer
U.S. Agency for International Development
Attn: Franco Calixto
Acquisition & Assistance Specialist, ROAA
8/F, PNB Financial Center
Pres. Diosdado Macapagal Boulevard
1308 Pasay City, Philippines

E-mail
Mr. Franco Calixto at the following email addresses: ManilaPrepare@usaid.gov and orpmailbox@usaid.gov

Instructions for submitting applications can be found under Section IV, Application and Submission Instructions. Applications should be submitted in sealed envelopes with the name and address of the applicant and the number of the RFA on the envelope. Applicants should retain a copy of their application and accompanying enclosures for their records.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of applications. In addition, award of the agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. Applications are submitted at the risk of the applicant, and should circumstances prevent award of this cooperative agreement, all preparation and submission costs are at the applicant's expense.

Any questions concerning this RFA should be submitted in writing to the abovementioned email addresses.

Answers to questions and any additional information regarding this RFA will be provided through an amendment to this RFA and posted on http://www/grants.gov.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Thank you for your consideration of this USAID initiative. We look forward to your organization's participation.

Sincerely,

//sd//
Andrew Holland, CPCM
Supervisory Agreement Officer
USAID Philippines and the Pacific

List of Acronyms

AAPD	Acquisition and Assistance Policy Directive
ADAPT	USAID/RDMA Climate Change Adaptation Project
ADS	Automated Directives System
AOR	Agreement Officer's Representative
AusAID	Australian Agency for International Development
BTC	Better Than Cash
C-CAP	Coastal Community Adaptation Project
CCR	Central Contractor Registration
CFR	Code of Federal Regulation
COFA	Compact of Free Association
COP	Chief of Party
CV	Curriculum Vitae
DCOP	Deputy Chief of Party
DUNS	Data Universal Numbering System
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
ERCP	Emergency Response Contingency Plan
FAO	Finance/Administration Officer
FAR	Federal Acquisition Regulation
FEMA	Federal Emergency Management Agency
FSM	Federated States of Micronesia
GAP	Gender Action Plan
GIS	Geographic Information System
IPR	Implementation and Procurement Reform
IR	Intermediate Result
LOC	Letter of Credit
M&E	Monitoring and Evaluation
MICNGO	Marshall Islands Council of NGOs
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Agreement
NOAA	National Oceanic and Atmospheric Administration
NWS	National Weather Services
OBP	Operational Blueprint
OEEM	Office of Environment and Emergency Management
OFDA	Office of Foreign Disaster Assistance
OMB	Office of Management and Budget
OSC	Office of the Chief Secretary
PIO	Public International Organization
PO/EAS	Program Officer/Emergency Assistance Specialist
PO/RAS	Program Officer/Reconstruction Assistance Specialist
PREPARE	Disaster Preparedness for Effective Response
PWDs	People With Disabilities
RCP	Reconstruction Contingency Plan
RFA	Request for Application
RMI	Republic of Marshall Islands
ROAA	Regional Office of Acquisition and Assistance
ROP	Relief Operations Plan
SPC	Secretariat of the Pacific Communities
SPREP	Secretariat of the pacific Regional Environmental Program

STTA	Short Term Technical Assistant
TBD	To Be Determined
TEC	Technical Evaluation Committee
TIN	Taxpayer Identification Number
USAID	United States Agency for International Development
USG	United States Government
WASH	Infrastructure, Logistics and Communication, Health, Shelter, Water, Sanitation and Hygiene
WB	World Bank

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SECTION I – PROGRAM DESCRIPTION

1. Introduction

USAID/Philippines and the Pacific seeks the services of an implementing partner to provide technical assistance, training and other emergency response services to implement the Disaster Preparedness for Effective Response (PREPARE) Project from July 1, 2013 – June 30, 2018, under a cooperative agreement mechanism(s), with a total funding not to exceed of $19 million, over a period of five years. USAID reserves the right to fund any or none of the applications submitted.

The objectives of the PREPARE Project are to strengthen disaster preparedness and expedite the delivery of appropriate emergency and reconstruction assistance in the event of severe U.S. Presidentially declared natural disasters in either of two Pacific Island nations – the Federated States of Micronesia (FSM) or the Republic of Marshall Islands (RMI). These objectives will be achieved through the following project components: 1) emergency response and contingency planning, 2) pre-positioning and setting up of rapid emergency response mechanisms, and 3) increasing the capacity of host governments in disaster preparedness before disasters strike, emergency response when disasters strike, and recovery and reconstruction in the post-disaster period.

2. Problem Statement

FSM and RMI are faced with enormous challenges in the delivery of emergency and reconstruction assistance – geographic location is a natural obstacle for easy access of humanitarian aid; lack of logistics for transportation and communication support services; presence of few NGOs that could provide disaster assistance services; and weak disaster management capacity of host governments and local disaster responders.

A. Geography as a Natural Barrier

The geographic locations of FSM and RMI are natural obstacles for the delivery of humanitarian aid. The hundreds of islands in FSM and RMI are spread across much of the Pacific Ocean. FSM is comprised of 607 islands with a total land area of 270 square miles, with a population of approximately 107,000. These islands are spread over 1,700 miles of the Pacific Ocean. RMI is composed of 29 atolls and five islands. The total land area is 70 square miles with 750,000 square miles of ocean surrounding these atolls and islands, with a population of approximately 53,000. To illustrate, Majuro atoll is the largest landmass in RMI, and its land area is only 9.7 square miles. Its narrow landmass encloses a lagoon of 114 square miles. The only means of transportation is via boat or ship to reach the population residing in these lagoon atolls and islands and in the other main islands of RMI. During low tides, small and large boats may be unable to travel over the reefs surrounding the islands. The location of these island countries becomes the barrier for bringing-in the humanitarian aid. Due to their geographical locations, FSM and RMI are vulnerable to natural disasters and are at risk to typhoons, tsunamis, storm surges and drought.

FSM and RMI are within the boundaries of the Pacific Ring of Fire, an area where 90% of the world's earthquakes and 81% of the world's largest earthquakes occur. Large earthquakes in this area can cause tsunamis that can easily affect FSM and RMI. For example, the 2011 Tohoku earthquake in Japan resulted in a major tsunami that reach the Pacific region including some of islands in FSM and RMI that reported larger than usual waves.

Typhoons often form within the territories of FSM and RMI. There have been 32 FEMA-declared typhoon disasters of varying magnitudes in FSM and RMI since 1961. In 2002, Tropical Storm Mitag affected two states in FSM and caused landslides and destroyed over 150 houses. The storm surge damaged several coastal structures including the sea wall in the capital city of Colonia. This caused the intrusion of salt water that resulted to over $150 million in damages to agriculture. The outer islands and atolls of RMI like

Utrik, Ailuk, Likiep, Wotho, Lae and Namu are prone to water shortages and drought. In 2007, the RMI government declared a state of calamity and dispatched their two vessels to deliver water, food and other assistance to the atolls of Utrik and Ailuk.

B. Logistics Constraints

As the hundreds of islands in FSM and RMI are surrounded by big bodies of water, there is limited transportation (passenger and cargo) between islands which can hamper the rapid dispatch of emergency supplies in an emergency response situation. There are outer islands that can only be visited by public sea vessels every two to twelve months. The FSM government has only one field service ship to cover the whole of 700 square miles territory of the country. Because of the vast territory, field vessel can only travel to the main outer islands once every year. Half of the year, this field vessel services the eastern outer islands, and the other half of the year, it services the western outer islands. The Australian Navy donated two patrol boats to FSM and RMI to help enforce the various fishing regulations. However, the two governments have limited funds and both boats are chronically short of fuel and are usually docked in the ports. The boats could prove an asset for disaster response, but fuel and maintenance cost will be major concerns. During typhoon and king-tide seasons[1], outer islands can easily be isolated. It would be difficult to rely only on the government's vessel in bringing the humanitarian aid. Alternative plans are needed to overcome the limited number of sea vessels that restrict the movement of relief commodities, construction materials, tools, equipment and humanitarian workers.

The airstrips that exist in the outer islands are often poorly maintained and are short; the primary means of transportation is by sea vessels. However, travelling by sea vessels is time-consuming and often impedes the rapid delivery of humanitarian aid. There is one commercial airline operating between Guam and Honolulu which offers island-hopper service and stops at six of the main islands of FSM and RMI only. In RMI, there is another airline that provides regular internal flights to 24 of the atolls, and has planes available for chartered flights. Because of the limited option to commercial air travel, if an outer island is affected by a disaster, the most feasible travel arrangement is through chartered planes.

There is only one airport in Majuro Atoll in RMI with a 1.5-mile asphalt runway that can accommodate a limited number of aircraft. The airport is two meters above sea level and is vulnerable to sea water intrusion during huge tides and storm surges. Since the airport does not receive daily flights, advance planning and coordination with the RMI Ports Authority are needed to proactively plan on how to receive and offload charter aircrafts that will be utilized in delivering humanitarian aid. In Pohnpei State in FSM, the road connecting the airport to the main island is vulnerable to tidal waters. A storm or higher than normal tide can make this road impassable and presents a challenge during emergency response using air transport.

C. Weak Host Governments' Capacity

While the host governments of FSM and RMI have gain experienced from many years of assistance by the various donors[2], including the USG, there remain significant gaps in the manpower skills, tools, and contingency plans in disaster management in FSM's Office of Environment and Emergency Management (OEEM) and RMI's Office of the Chief Secretary (OSC). For example, OEEM and OSC's National Disaster Management Office, have few technical staff, are burdened with day-to-day competing activities to enable them to prepare, review and test their pre-disaster and post-disaster plans. FSM has a Multi-State Multi-Hazard Plan prepared for 2005-2009, and has not formulated a follow-up plan. RMI has

[1] King tides are how Pacific islanders describe the higher than usual tides that occur at certain periods of the year. In FSM and RMI, it is usually observed from December to February. King tides are a natural part of the tide cycle but are mostly created during monsoon season.
[2] Donors include the USG, AusAID, World Bank, UNISDR, and FSM Red Cross chapter, among others.

drafted a National Action Plan for Disaster Risk Management for 2008-2018, but there is no national budget allotted for its implementation.

D. Limited Number of NGOs in FSM and RMI

There are only a few NGOs working in FSM and RMI that have the experience in delivering disaster response and reconstruction assistance. A few faith-based organizations have provided emergency aid to small scale disasters. The Red Cross chapter in FSM appears to be the only local organization that has the manpower, tools and material, and organizational resources that could provide emergency aid for larger scale disasters. Its office is in Pohnpei and with chapters in four states of FSM in various degrees of development. There is a move to organize a Red Cross chapter in RMI, but it still in the early and preparatory stage as of this time. The local NGOs in RMI are focused on biodiversity conservation, youth advocacy, health and education. Through funding support from AusAID, the Marshall Islands Council of NGOs (MICNGOs) was recently organized to serve as the umbrella organization for new and emerging community-based organizations. MICNGO is still at the formation stage and does not have the capacity to collaborate with USAID in distributing relief commodities, assessing the impacts of disasters or even in preparing disaster response plans.

In the most recent FEMA disaster response in FSM and RMI, FEMA tapped several US-based NGOs working with local first responders to distribute relief commodities and construct houses in the main islands because the capacity of local NGOs proved inadequate. There are available manpower resources in the two countries and there is an opportunity under this Project to develop and tap local NGOs and the academe to become USAID partners and establish a network of local responders in distributing relief commodities to beneficiaries in the aftermath of a disaster.

3. Background

In November 2008, the responsibility within the USG for disaster mitigation, relief and reconstruction assistance for FSM and RMI were transferred from U.S. Federal Emergency Management Agency (FEMA) to USAID, under the Compact of Free Association (COFA)[3] with the United States Government. FEMA is the USG agency responsible for domestic disaster assistance within the United States and its territories, while USAID is the USG agency charged with the administration of disaster assistance to independent, sovereign nations. Both FSM and RMI have obtained independent nation status, after 40 years of being U.S. Trust Territories.

With the transition of responsibility, USAID will continue to provide a "robust program of emergency disaster relief and reconstruction, similar, but not identical, to the assistance provided by FEMA to these islands." This transition is guided by the FEMA/USAID Operational Blueprint (OBP)[4] Strategy for Disaster Mitigation, Relief and Reconstruction in FSM and RMI for 2008 to 2023, which was developed with the FSM and RMI governments and other stake holders. It provides the "operational framework for the coordination and delivery of mitigation, relief and reconstruction, principally after a U.S. Presidentially declared disaster. Recommendations to the U.S President to make this declaration rely largely on the preliminary damage

[3] The Compacts of Free Association (COFA) defines the relationships of the FSM and RMI with the United States of America (http://uscompact.org/), and enumerates unique packages of support of the U.S. government (USG) to FSM and RMI, which include the provision of defense, education, health and disaster assistance, until 2023. Services will be provided by FEMA, National Weather Service, U.S. Postal Service, Federal Aviation Authority, and the Federal Communications Commission, and with support from the Department of Interior.

[4]The OBP lays out specific goals, policies, program strategies, services, activities and procedures for each sector which will be served by USAID disaster assistance program in FSM and RMI.
(http://www.pacificdisaster.net/pdnadmin/data/original/FEMA_USAID_2008_Operational_blueprint.pdf) I

assessment determining at least one of the following: (i) the cost of damages on public infrastructure exceeds $1 million; (ii) at least 100 residences or houses have been completely destroyed; or (iii) the response cost to support life-sustaining needs of the affected population is predicted to exceed $1 million.

For many decades, FEMA, during critical emergency periods, had provided emergency disaster relief after typhoons, wave surges, mudslides and severe droughts, in line with the Stafford Disaster Act[5] which governs FEMA's disaster assistance. Its emergency support has included medical assistance, mass evacuations, restoration of electricity, water, sanitation services for public health and safety, emergency food, temporary individual shelter, agricultural recovery aid, repair and reconstruction of vital public infrastructure, individual housing, replacement of personal effects and vehicles damaged or destroyed by these disasters.

In contrast, USAID's disaster assistance for FSM and RMI is governed by the treaty obligations under the Compact of Free Association (COFA) with the United States from 2008-2023, and is not the ordinarily administered voluntary foreign assistance by USAID as the USG's principal foreign aid agency. USAID's assistance is based on an in-depth joint disaster assessment by both FEMA and USAID. With reference to the Operational Blueprint (OBP), USAID's responsibility focuses on 1) coordination of (and/or direct provision of elements, such as pre-positioned commodities) USG emergency response to disasters, and 2) provision of operations management for post-emergency reconstruction and recovery.

The OBP also assigns the responsibility to USAID in preparing Relief and Reconstruction Plans (RRPs) for all U.S. Presidentially-declared disasters. These plans will be subject to FEMA's review and concurrence, as <u>all the expenses associated with the delivery of disaster response and reconstruction assistance will be transferred to USAID from FEMA's Disaster Relief Fund. These funds however, are only eligible for U.S. Presidential Disaster Declarations.</u> The OBP also sets the framework for how USAID will dispatch its emergency and reconstruction assistance, and provides a list of clear-cut activities in preparation for emergency response to a U.S. Presidentially declared disaster. It enumerates very specific response interventions that need to be provided, such as medical evacuations, provision of start-up awards to replace destroyed or damaged assets, among others. To assist in the rebuilding effort, the OBP also requires USAID, through its Implementing Partner and various service providers, to be responsible for the repair and reconstruction of substantially damaged public infrastructure, facilities, private homes and private edifices providing education, fire protection and medical services. Management and support responsibility for the FEMA/USAID program in the OBP will be vested primarily in USAID/Office of Foreign Disaster Assistance (OFDA) with USAID/Philippines and the Pacific assuming responsibility for the Implementing Partner's cooperative agreement.

In the event of a U.S. Presidentially declared disaster in FSM or RMI, there will be separate budgets for the implementation of the various emergency and reconstruction assistance. USAID/OFDA will provide funds to support the delivery of emergency assistance, which may be reimbursed by FEMA for U.S. Presidentially-declared disasters with pre-approved RRPs; and FEMA will provide funds for the implementation of reconstruction assistance, upon acceptance by FEMA of USAID's proposed reconstruction plan. FEMA may also provide pre-positioned commodities from its warehouses in Honolulu and Guam, if needed. FEMA Disaster Relief Funding will be managed by the PREPARE Implementing Partner with oversight by USAID/Philippines and the Pacific.

4. USAID's Disaster Assistance Program in FSM and RMI: Accomplishments 2008 to 2012

Consistent with USG's commitments as stated in the COFA and the requirements defined in the OBP, USAID in 2008, through a cooperative agreement with a Public International Organization, has started to set-up the foundation for the rapid dispatch of emergency and reconstruction assistance. The following are the accomplishments of the program to date which will be continued and scaled up by the PREPARE Project:

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[5]The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) is a United States federal law that provides Federal assistance programs for losses due to a disaster within the United States and its trust territories.

- Established three warehouses in the States of Yap and Pohnpei in FSM, and in the island of Majuro in RMI, which allow USAID to pre-position emergency relief commodities. The pre-positioning of key supplies and materials is a critical element of any effective relief operation. Inefficient distribution of humanitarian assistance can result to increased human suffering and loss of assets. The pre-positioning of emergency relief supplies has eliminated the procurement phase in the response cycle, allowing USAID to easily jumpstart humanitarian assistance.
- Established stand-by arrangements with various service providers on: (i) medical evacuation; (ii) inter-island and international emergency air and sea transport; and (iii) logistical support for relief distribution.
- Established stand-by arrangements for rapid mobilization of humanitarian aid workers and volunteers during the emergency phase to assist in the distribution of non-food items.
- Conducted table-top exercises to test the level of preparedness of U.S. and host government agencies engaged in disaster response.
- Gathered multi-sectoral data on the main islands as well as in selected outer islands to aid in documenting the physical and institutional environments in FSM and RMI.
- Conducted briefing and information sessions to inform the host governments, private sector and civil society on the scope of the OBP.
- Trained school-aged children and teachers on various concepts of disaster risk reduction.

5. Lessons Learned

In designing the PREPARE Project, USAID reflected on the knowledge gained from the experience of implementing the disaster assistance program in FSM and RMI. The PREPARE project must continue to build upon the various lessons learned in implementing the program in FSM and RMI. Some of these lessons are:

- <u>Contingency Planning is the best practice for identifying the procedures and the resources required in responding to disasters -</u> One of the most prudent precautions to reduce the adverse impacts of disasters and other catastrophic events is the adoption of a well thought out emergency response contingency plan that describes the likely crisis scenario, the profile of the population and vulnerable areas, relief commodities and distribution mechanisms, division of roles and organizational responsibilities, including the host governments, local responders and implementing partners, and all stand-by arrangements. PREPARE will develop emergency response contingency plans for FSM and RMI as a structured way of providing emergency and reconstruction assistance; prepositioning assets, reconstruction designs, start-up awards and stand-by agreements with humanitarian aid workers; and strengthening the capacity of host governments. **Annex C** presents an illustrative outline of an emergency response contingency plan.

- <u>Supporting host country ownership is critically important to ensure sustainability</u> - The current USAID Disaster Assistance program has had minimal engagement with FSM's Office of Environment and Emergency Management (OEEM) and RMI's Office of the Chief Secretary (OCS) that can demonstrate meaningful partnership and collaboration. There has not been any joint monitoring and evaluation exercises conducted to provide OEEM/OCS avenues to offer feedback on the quality and relevance of USAID program. PREPARE will seek to promote collaboration between USAID and OEEM/OCS, and conduct annual consultations with all partners to review project implementation and plan for upcoming priorities. The consultations will help identify clear points for coordination and pooling of resources to create synergy between host governments and USAID.

- <u>Utilize local capacity by forging stronger partnerships with local NGOs including faith-based organizations and academic institutions</u> - There are only a few NGOs in FSM and RMI, but there are available indigenous resources and talents that could be tapped to provide in-depth knowledge and understanding of the local context and culturally-sensitive interventions. In RMI, the College of

Micronesia has experts that can recommend appropriate community-based assistance for island communities. Peer-to-Peer, a small NGO in RMI, runs a successful health advocacy program among young adults, and can help launch disaster preparedness outreach programs targeting youth. PREPARE should tap these local resources in developing emergency response and reconstruction programs in these areas.

- A functional M&E is critically important for assessing long-term results. – The OBP requires USAID emergency and reconstruction program to be in place until 2023. Hence, USAID needs to track the short to medium term results of its disaster assistance program in FSM and RMI, as well as the positive and negative long-term results from the assistance provided by USAID since 2008. The M&E system of PREPARE will seek to provide monitoring information and feedback to improve the performance of current and future programs on emergency response, reconstruction assistance, and capacity building of host governments.

6. Program Description

A. Project Objectives

The objectives of the PREPARE Project are to strengthen disaster preparedness and expedite the delivery of appropriate emergency and reconstruction assistance in the event of U.S. Presidentially declared natural disasters in two Pacific Island nations – the Federated States of Micronesia (FSM) and Republic of Marshall Islands (RMI). These objectives will be achieved through the following project stages: 1) disaster preparedness, 2) emergency response, and 3) recovery and reconstruction assistance.

The PREPARE Project will set-up the procedures for responding to disaster in each of the above stages (before, during and after disaster strikes) of the disaster cycle. In summary, this will include the prepositioning of commodities, engineering designs, start-up awards and implementation arrangements with government, businesses and other NGOs. A key element for responding to disasters is partnering with the host governments. The project will strengthen the collaboration between USAID and the host governments by increasing the disaster management capacity of OEEM and OCS. The project includes initiatives to accommodate training and mentoring activities and to promote greater adoption of disaster management approaches from the national to the local levels.

B. Relevance to USAID's Development Objective in the Pacific Region

The PREPARE Project will contribute to USAID's Development Objective in the Pacific to address the negative impacts of Climate Change. In particular, the PREPARE project will support the Intermediate Result (IR) 1.1 "Resilience in Communities Strengthened", specifically sub-IR 1.1.3 "Disaster Management Strengthened" under the draft USAID/Pacific Islands Strategy. Due to its geographical position, FSM and RMI are vulnerable to climate-induced disasters such as tropical cyclones, flash floods and droughts.

C. Other USAID Programs in the Pacific Region

The PREPARE Project is expected to develop effective synergies with other USAID activities already working in the Pacific region, as well as promote mutual learning and exchange knowledge and experience. USAID has a rich portfolio of activities in the Pacific, including:

1) Coastal Community Adaptation Project (C-CAP): The objective of the Coastal Community Adaptation Project is to build the resiliency of vulnerable coastal communities in the Pacific region to withstand more intense and frequent weather events and ecosystem degradation in the short-term, and sea level rise in the long-term, in 12 Pacific Island countries, including FSM and RMI. It

seeks to mitigate adverse impacts of disasters through hazard-resistant construction, improved public awareness and environmental policies. Results should build upon on existing vulnerability assessments, disaster risk reduction plans, and locally managed marine areas management plans in order to prioritize development activities. The Implementing Partner of C-CAP will provide services to: rehabilitate or construct new, small-scale community infrastructure; building capacity for community engagement for disaster prevention and preparedness; and integrate climate resilient policies and practices into long-term land use plans and building standards.

2) USAID-NOAA: Pacific Island Climate Adaptation Project: This project supports regional and local institutions, and communities in the South Pacific to develop capacity to use and forecast climate information in order to strengthen the adaptive capacity in key sectors, including coastal zones, water resources, agriculture, health, and fisheries. NOAA will expand the climate services program and the Pacific Climate Information System to the broader Pacific Islands region. In addition, the project will build scientific and technical capacity to apply geographic information systems (GIS), land use, forestry, and soil mapping techniques to improve climate resilience of terrestrial food production in seven locations: Fiji, Tonga, American Samoa, Samoa, Cook Islands, Vanuatu, Kiribati.

3) USAID/RDMA Climate Change Adaptation Project (ADAPT): This project will address capacity and information needs of eligible governments in the Asia region to access climate change adaptation funds, i.e. Global Environment Facility, and adaptation specific overseas development assistance. The growth of funding sources has created a shared need among the Pacific island nations for assistance in understanding how to access available funds and make effective use of these resources. ADAPT will provide technical assistance and training at both the regional and country-specific levels to ensure that beneficiaries have the skills sets required to successfully access adaptation funds.

4) PIO grant to the Secretariat of the Pacific Communities (SPC): This project will strengthen food security among farming communities in Fiji, Kiribati, Samoa, Solomon Islands, Tonga and Vanuatu through the use of innovative techniques and management approaches to increase the climate change resilience of terrestrial food production. This will be achieved through engaging national and local counterparts in capacity building activities, on-farm training and pilot demonstration projects. SPC will expand their Climate Ready Crop Collection program that includes staple food crop genotypes that have resilient traits such as tolerance to drought, salinity and flooding. The project will also support the climate field schools in the Solomon Islands and through the Center of Excellence in Atoll Agriculture in Kiribati.

5) PIO grant to the Secretariat of the of the Pacific Regional Environmental Program (SPREP): This project will improve the ability of communities in the outer islands of Kiribati to address the impact of climate change and variability on water resources through increasing the capacity for rainwater harvesting and storage and through enhancing water quality of existing ground wells. Communities will be trained in water resources management best practices and through demonstration projects. Training will also be provided to Ministry of Health officials on climate change variability and change and their impacts on human health. In the Solomon Islands, this project will promote healthy ecosystems such as mangroves, coral reefs, and wetlands that can form natural barriers against extreme weather events.

7. Expected Results and Deliverables

The results and activities described below provide an illustrative approach in achieving the objective and intermediate results. The Implementing Partner is encouraged to innovate and propose alternative activities in setting-up the structures and procedures for delivering disaster response in FSM and RMI. Five representative high risk areas are used as a focus for the PREPARE Project – the States of Chuuk and Pohnpei in FSM, Majuro Atoll in RMI and two outer islands in FSM and RMI. The expected results (outputs) under the PREPARE Project are listed below under the three stages of disaster management for all the target locations:

Stage 1. Disaster Preparedness Before a Disaster Strikes

The PREPARE Project principally focuses on results and activities under Stage 1 for all preparatory disaster preparedness and mitigation activities, including the following:

1) Emergency Response Contingency Planning (ERCP)
2) Relief Operations Plans (ROPs)
3) Reconstruction Contingency Plans (RCPs)
4) Environmental Impact Assessment and Management Guidelines
5) Simulation (Table Top) Exercises to test for the ERCPs and ROPs
6) Pre-positioning Emergency Relief Commodities, and routine testing of machinery
7) Pre-positioning of Engineering Designs of Public Infrastructure and Houses appropriate for people residing in the main and outer Islands
8) Pre-positioning a Mechanism for distributing start-up grants to disaster affected population
9) Conducting training activities for local disaster responders and local schools on disaster preparedness.

All the above disaster preparedness activities will be done in close collaboration with USAID/OFDA, FEMA, U.S. Embassies, host governments of FSM and RMI's national state, local and civil service officials and other stakeholders in these countries, including NGOs, business sector and the academe, as appropriate. Briefings and information sessions will be conducted with host governments, private sector and civil society on the scope of these Stage 1 activities.

Described below are the expected results and deliverables from the Project:

a) Emergency Response Contingency Plans (ERCPs) developed

The ERCPs will ensure that the PREPARE Project has a structured approach in the rapid dispatch of emergency assistance that should lead to timely and effective disaster-relief operation when disaster strikes. These plans will explain the scale of the response and as well as the resources needed and will include the range of technical and logistical responses, management of manpower and material resources, coordination and communication procedures, consistent with the scope of the emergency assistance in the OBP to be provided by USAID. The ERCPs should be developed with the participation of stakeholders, including indigenous disaster responders such as faith-based organizations and local NGOs and academes in FSM and RMI, and be linked to the systems and processes of OEEM and OCS. ERCPs shall tap indigenous disaster responders such as faith-based organizations and local NGOs. **Annex C** presents an illustrative outline of an ERCP.

The ERCPs must anticipate and plan for all disaster requirements in Stage 2 below and establish 1) stand-by arrangements with various service providers on: (i) medical evacuation; (ii) inter-island and international emergency air and sea transport; (iii) logistical support for relief distribution, (iv) arrangements for support for mobilization of USG response teams such as office space and accommodations, (v) means to provide situational updates on incipient disasters and disaster response activities, and (v) stand-by arrangements for rapid mobilization of humanitarian aid workers and volunteers during the emergency phase to assist in the distribution of non-food items.

As an input to the planning exercises, PREPARE should gather multi-sectoral data, such as inventory of public infrastructures, buildings and public utilities on the main islands as well as in selected outer islands to aid in documenting the physical and institutional environments in FSM and RMI.

b) Relief Operations Plans (ROPs) of OEEM and OSC developed and completed with USAID assistance

The OEEM and OSC are the lead government agencies tasked to respond to all types of disasters in the FSM and RMI, respectively. For U.S. Presidentially declared disasters, the FSM and RMI governments have explicit responsibilities and obligations as described in the OBP. For example, the host governments are responsible for cleanup of debris caused by the disaster, and for ensuring that the roads, airports and communications infrastructure are operating. Also, during the preliminary damage assessments (PDAs), the host governments are responsible to provide sea vessels and local manpower support.

USAID, through its partner, will provide technical assistance to OEEM and OSC to develop Relief Operations Plans (ROPs). The OEEM and OCS will determine the format, content and the process of validating the ROPs. Hence, the ROPs are not limited to just responding to large-scale or U.S. Presidentially declared disasters but could also be focused on localized incidents that do not involve USG assistance.

c) Reconstruction Contingency Plans (RCPs) for high risk areas completed

PREPARE will conduct consultations and workshops with various public and private institutions to enable the preparation of Reconstruction Contingency Plans (RCPs) that will clarify the scope and process of bringing FEMA/USAID reconstruction assistance to the high risks areas target. Under PREPARE, separate RCP's will be developed which will address each of the three main categories of Reconstruction described in the OBP: 1) repair and reconstruction of large infrastructure (> $15,000 in value, including buildings, roads, and utilities), 3) replacement of destroyed houses and small infrastructure (valued at $3,000 - $15,000), and 3) distribution of grants, awards, and cash, voucher, and material grants and awards. The content of these RCPs will comply with the detailed specifications described in the OBP. An illustrative outline and detailed description of these separate RCPS is discussed in **Annex D**.

d) Environmental Impact Assessment and Environment Management Planning Guidelines completed

Infrastructure projects are critical components of the reconstruction assistance in FSM and RMI and FEMA/USAID are committed to developing safe and typhoon-resistant structures that benefit the project stakeholders. While actual repair and reconstruction of public infrastructure, utilities and houses will not be a part of PREPARE, USAID will develop manuals to describe the standards and processes for conducting Environmental Impact Assessments (EIA) and Environmental Management Plan (EMP). These manuals will include environmental regulations and standards in repairing and rebuilding of public infrastructure, utilities and homes. An illustrative outline of the EIA and EMP is presented in **Annex E**.

e) Simulation Exercises (table-top) for ERCPs, ROPs and RCPs completed

In order to test the appropriateness, responsiveness and adequacy of the 1) Emergency Response Contingency Plan (ERCP) , 2) Relief Operations Plans (ROPs), and 3) Reconstruction Contingency Plans,(RCPs), table-top exercises or simulations will be done to put these plans into action, test the assumptions under time-compressed and difficult operating conditions, review their strengths and weaknesses, and revise the plans accordingly. To the extent possible, the PREPARE Project will design these exercises to replicate the dynamics of a real disaster response and provide the disaster responders the opportunity to play or act-out their roles as stated in the ERCPs, ROPs and RCPs. For example, in running the table-top exercises for RCPs, key decisions makers from the government and USAID can role play and determine the timeline for rebuilding the various public facilities, review the necessary documents, agreements and processes, and conducting the joint monitoring and evaluation missions.

In conducting table-top exercises, representatives from the host government especially key decision makers in FSM and RMI (including OEEM and OCS) and local disaster responders from faith-based organizations, and local NGOs and academe will be invited to participate in simulation exercises, together with representatives from USAID and other USG federal partners. A learning session will be facilitated at the end of each of the table-top exercise to analyze the feedback from various stakeholders, summarize key lessons learned and document the changes and improvements that can be made in the ERCPs, ROPs, RCPs as well as provide inputs for the review of the OBP. Since the OBP is the operations framework that guides how USAID will deliver the emergency assistance to FSM and RMI, there is a need to review its adequacy on a regular basis. The results of table-top exercises will provide meaningful inputs to aid in reviewing and improving the scope and standards of USAID's assistance as described in the OBP.

f) Pre-positioning and setting up of rapid emergency response mechanisms completed

This will include the pre-positioning of Emergency Relief Commodities, Information and Engineering Designs of Public Infrastructure, Utilities and Houses; and Mechanisms for distributing start-up grants to disaster affected population.

(i) Pre-positioning Emergency Relief Commodities in three locations

Pre-positioning of goods and materials can be a critical element of relief aid operations. The absence of emergency supplies or the slow pace in distributing them can result to increased human suffering and loss of socio-economic assets. USAID aims to enhance its emergency response capacity during US Presidentially-declared disasters in FSM and/or RMI by ensuring the availability of relief supplies. This will be done by continuing the pre-positioning or stock-piling of relief commodities in key strategic locations, namely, states of Pohnpei and Yap in FSM, and in Majuro in RMI. A well-established pre-positioned structure will serve to jumpstart the relief distribution stage. The emergency relief commodities that will be pre-positioned in the three locations will be in compliance with the requirements stated in the OBP (see Annex D for the complete list). USAID/OFDA will provide the funding for the procurement and replacement, as needed, of these emergency relief commodities. Hence, this expense will not be a part of the PREPARE budget. The USAID Implementing Partner is responsible in the procurement of these emergency relief commodities based on the specifications or the quality and quantity approved by USAID/OFDA. USAID/OFDA, in collaboration with USAID/P, will make the determination on when and how emergency commodities will be replaced and/or donated to relevant government agencies in the FSM and RMI. However, any direction to proceed will be provided by written notice from the Agreement Officer.

(ii) Pre-positioning of Information and Engineering Designs of Public Infrastructures, Utilities and Houses appropriate for those residing in the main and outer Islands

All engineering designs will comply with the construction and environmental policies of FSM, RMI and USAID and should ensure that the quality of all infrastructure is typhoon-resistant and flood-resistant for areas with high risk of inundation. All designs shall be submitted to the appropriate FSM and RMI agencies for review and concurrence. This will ensure that there is a leveling of expectations between USAID and the governments of FSM and RMI with regard to the type and quality of the infrastructure that USAID will finance. In order to do this, PREPARE will develop an inventory of public infrastructure by identifying and collecting information on public buildings such as government buildings, libraries, schools, hospitals and clinics; public utilities such as power plants, electrical distribution systems, water supply sources and collection systems, waste water and water treatment plants, among others. Information to be gathered will include, but is not limited to: location (including GPS coordinates) and description of the building (type of construction, roof material, approximate size, general condition, observable hazards, photos, etc.)

(iii) Pre-positioning Mechanisms for distributing start-up grants to disaster affected population

USAID has strong evidence that start-up grants are effective interventions to jumpstart the disaster recovery process. PREPARE will design mechanisms for distributing start-up grants to families whose houses have been damaged and to compensate individual vehicle owners. The mechanism should be consistent with the criteria, list of beneficiaries and monetary standards set forth in the OBP. For example, the mechanism should provide detailed description of the process of identifying families whose stand-alone kitchens, bathroom or outdoor covered living area have been destroyed and how start-up grant amounting to $150 will be distributed to these families. Also, the mechanism should describe the procedure on a) how individual vehicle owners will be able to avail the start-up grants amounting to $600 up to $3,000, b) how vehicle inspectors will be dispatched to assess the damage, verify the vehicle registration and c) distribution of monetary aid. The Implementing Partner shall ensure that the mechanism will address the transport and logistical challenges in distributing the start-up grants in the main and outer islands and the lagoons. Hence, the Implementing Partner may look into the possibility of pre-positioning more than one type of mechanism to reflect the different conditions of distributing monetary assistance in FSM and RMI.

g) Increased capacity of host governments in disaster preparedness, by conducting training activities for local disaster responders and students

PREPARE will conduct training needs assessment and will prepare the learning and training plans for the local responders in FSM and RMI. These plans will specify the new knowledge, skills and abilities that the disaster responders will gain from the training. The local disaster responders that will benefit from this task are government workers and representatives from the civil society who will provide services for the disaster affected families and communities. In addition, representatives from high risk areas, such as Chuuk, Yap, Majuro and the outer islands will be included in the pool of local disaster responders that will benefit from this task.

In collaboration with representatives from the local disaster responders, the Implementing Partner will design and implement a series of training courses in disaster response. Depending on the results of the training needs assessment, the training courses could include: damage or needs assessment, emergency healthcare, search and rescue, protection, safety and security. PREPARE may also work with local schools to train school-aged children and teachers on various concepts of disaster risk reduction in collaboration with other donors such as AusAID.

Any work under Stages 2 and 3 including the pre-positioning of emergency relief commodities will require the written approval, via a notice to proceed or similar, from the Agreement Officer.

Stage 2. Emergency Response When Disasters Strike

In the event of a US Presidentially declared disaster, USAID/OFDA will assume the primary responsibility for emergency assistance. USAID/OFDA will closely coordinate with the grantee to implement and mobilize the disaster plans prepared in Stage 1. OFDA may also request USAID for additional emergency response support from the grantee and USAID Agreement Officer may obligate required resources available from OFDA for the implementing partner to perform activities under Stage 2. However, any direction to proceed will be provided by written notice from the Agreement Officer.

USAID/OFDA, working with Implementing Partner(s) is also required to expedite the delivery of pre-positioned commodities and mechanisms defined in Stage 1 (emergency relief and assistance) and rapid mobilization of trained emergency or humanitarian workers to implement the relief distribution of non-food items; installation and operation of reverse osmosis units, rainwater catchment systems and power generators; execute emergency interventions in the areas of shelter and camp management, emergency landslide stabilization, water and sanitation, food distribution, and dispatch medical teams and facilitate medical evacuations; arrange for support for of deployed USG response teams such as office space and accommodations, and provide situational updates on incipient disasters and disaster response activities.

For local disasters not declared by the U.S. President, under the OBP, the assessment of whether and how USAID should respond to such disasters will be the responsibility of the U.S. Embassy of FSM and RMI. However, any direction to proceed will be provided by written notice from the Agreement Officer.

Stage 3. Recovery and Reconstruction in the Post-Disaster Period

Long-term development programs, such as reconstruction assistance, are traditionally done by bilateral missions of USAID. The PREPARE Project is unique because USAID, through its Implementing Partner(s) will be implementing a program that sets the structure and procedures for delivering both emergency and reconstruction assistance. USAID assistance package in FSM and RMI must comply with the OBP. For example the OBP requires USAID to have the capacity to do multiple medical evacuations and mobilize teams of experienced trauma specialists composed of doctors, orthopedics and plastic surgeons. The OBP also states that in its reconstruction work, USAID is prohibited from utilizing or financing low-cost pre-fabricated metal structures, which are vulnerable to damage and deterioration in the corrosive and typhoon-exposed environments.

Stage 3 recognizes that the task of rebuilding key public infrastructure, utilities and private homes is a complex and challenging task, and will set into motion the Reconstruction Contingency Plans (RCPs), and all related pre-positioning mechanisms defined in Stage 1. After the emergency phase, USAID's Implementing Partner(s) will assume responsibility for the implementation of the RCPs in close collaboration with the host government, USAID and FEMA (the agency providing funding for a U.S. Presidentially-declared disaster). The Partners' services during the reconstruction phase may include: (i) repair and construction of significantly damaged public infrastructure, public utilities and private homes; and (ii) provision of direct start-up assistance to the disaster-affected population.

USAID's Implementing Partner(s) will arrange for services (normally through contract or agreement with other organizations) for the actual delivery of reconstruction assistance for homes and smaller infrastructure (less than $15,000 in value). USAID's Partner will distribute start-up funding for families with damaged homes and vehicles. For larger-scale reconstruction assistance ($15,000 and above, but not to exceed $500,000 per site), the Implementing Partner will facilitate arrangements among the host country implementation unit, architect/engineering firms, USAID and FEMA in providing repair and reconstruction services for significantly damaged large public infrastructure assets, including buildings, roads, utilities, etc.

The Agreement Officer may engage the recipient and issue a written notification with adequate resources from FEMA for Stage 3 activities. However, any direction to proceed will be provided by written notice from the Agreement Officer.

The structure and processes that PREPARE will establish must enable the Implementing Partner(s) using FEMA funds to finance and undertake small repair and reconstruction assistance; support repair and reconstruction of larger public infrastructure assets (as described in **Annex D**); and facilitate mass procurement and direct importation of high-quality construction materials and rapid mobilization of local and international construction, engineering, operations and logistics partners.

The delivery of USAID reconstruction assistance is taken within the context of contributing to the long-term strategy of the governments of FSM and/or RMI and in making key infrastructure more resilient to disasters. The local stakeholders will play key roles in the planning and implementation of the reconstruction activities ensuring that the assistance supports the development objectives of the governments as well as targets the most vulnerable groups.

8. Indicators

Below is an illustrative list of indicators for the PREPARE Project. All plans must meet USAID's standards of completeness, as illustrated in the Annexes.

Stage 1 Indicators:

- Number of ERCPs prepared
- Number of ROPs prepared by OEEM and OCS
- Number of RCPs prepared
- Number of pre-positioned commodities in three warehouses (used and not used in disasters)
- Number of local disaster responders trained
- Number of simulation (table top) exercises conducted at the national or local levels
- Number of prepositioning engineering designs approved by government agencies in FSM and/or RMI
- Number of mechanisms designed for the distribution of start-up grants and number of start-up grants
- List of recommendations made to change the reconstruction interventions described in the OBP
- A well-functioning USAID-Government disaster response coordination and reconstruction mechanisms are in place with clear policies and procedures and in which all entities are clear about their roles and responsibilities
- USAID Exit Strategy is in place and approved by FSM and/or RMI, at the end of the PREPARE Project

Stage 2 and 3 Indicators (some data may obtained from host governments for disasters declared by the U.S. President)

- Number of people assisted (mass evacuation, shelters provided, medical evacuation, among others)
- Number of public infrastructure repairs and reconstructed
- Number of public utilities repaired
- Number of homes repaired or reconstructed

- Number and type of services provided by various service providers of stand-by arrangements)

9. Implementation Strategy

USAID/Philippines and the Pacific will be responsible for the overall management of the PREPARE Project, including its Implementing Partner. Actions taken by the Implementing Partner should be within the scope of the work plan approved by USAID/Philippines and the Pacific. In the event of U.S. Presidentially-declared disasters, all activities of the Implementing Partner should be implemented in accordance with relief and reconstruction plans approved by FEMA.

The USAID Implementing Partner is expected to work closely with the following organizations, whose roles and responsibilities are outlined below:

A. FEMA – The Implementing Partner will closely coordinate with FEMA, through USAID, in all stages of the PREPARE Project, from the preparation of disaster preparedness plans to their implementation, to maximize lessons learned from disaster implementation. Upon approval by FEMA of disasters plans for U.S. Presidentially declared disasters, FEMA will provide funding for the implementation of these plans, which will be implemented under the oversight of the PREPARE Implementing Partner. FEMA may also provide prepositioned commodities from its warehouses in Honolulu and Guam for disasters declared by the U.S. President.

B. USAID/OFDA – As with FEMA, the Implementing Partner will closely coordinate with USAID/OFDA in all stages of the PREPARE Project, from the preparation of disaster preparedness plans and their implementation. USAID/OFDA will provide direct emergency relief assistance during the onset of U.S. Presidentially declared disasters. USAID/OFDA will also be responsible for the pre-positioning of commodities in the three identified warehouses. As part of response planning for future disasters, USAID/OFDA will dispatch a team of infrastructure, logistics and communication, health, shelter, and water, sanitation, and hygiene (WASH) technical advisors to FSM and RMI to conduct sector-specific assessments. Technical advisors will assess the local disaster response capacity and evaluate the readiness of the USG to respond to a large scale emergency response effort in FSM and RMI. USAID/OFDA is currently supporting other activities to prepare for and mitigate the adverse impacts of disasters, such as capacity building activities for local and national government officials

C. Host Governments of FSM and RMI through the Office of Environment and Emergency Management (OEEM) and Office of the Chief Secretary (OCS), respectively. The host governments have the primary responsibility for pre-disaster planning, immediate pre-disaster emergency mobilization, local evacuation and sheltering, relief operations during the onslaught of the disasters and immediate post-disaster operations, particularly in the first days or weeks after the disaster event. This also includes re-establishment of local and international communications, road access, clearing of airport runways and emergency medical and other services, as they did during the FEMA period, before USAID can bring the resources of the USG to bear on these emergencies. The Implementing Partner will work closely with the host governments' national and local officials and its local stakeholders in preparing disaster preparedness plans.

D. U.S. Geological Survey. Landslides often affect FSM triggered by typhoons and other weather events. Through USAID, the Implementing Partner will work with USAID/OFDA which provides funds to the U.S. Geological Survey to assess landslide hazards in the nation and create maps depicting areas most at risk. Such maps will allow authorities to assist people evacuating from landslide-prone areas as storms approach, allowing ample time for vulnerable populations to pack belongings and relocate before the storm and associated landslides strike.

E. National Oceanic and Atmospheric Administration (NOAA)/National Weather Service (NWS). USAID/OFDA provides funds to NOAA to set-up an alert system to send weather notifications to remote locations in FSM and RMI. This alert system connects the meteorological warning authorities with emergency managers when a storm is imminent and evacuations become necessary. The Implementing Partner will work with NOAA/NSW through USAID.

10. Tasks

The Implementing Partner of the PREPARE Project is responsible for developing and implementing an approach that will achieve the project objectives, results and deliverables, and comply with all the statutory regulations of USAID. The tasks listed below are illustrative and the Implementing Partner shall develop innovative and cost-effective technical approaches that respond to the desired results. For example, the tasks listed below are shown in a sequential manner, but some of these may be done in parallel to save time and increase cost-efficiency.

The following are the expected tasks of USAID's Implementing Partner:

Under Stage 1. Disaster Preparedness

PREPARE will develop emergency response contingency plans for FSM and RMI for a structured way of providing emergency and reconstruction assistance; prepositioning assets, reconstruction designs, start-up awards and stand-by agreements with humanitarian aid workers; and strengthening the capacity of host governments. The following are the tasks of the Implementing Partner under Stage 1.

A. Promote collaboration between USAID and OEEM/OCS, and conduct annual consultations with all partners to review project implementation and plan for upcoming priorities. The consultations will help identify clear points for coordination and pooling of resources to create synergy between host governments and USAID. The Implementing Partner will be expected to tap these local resources in developing emergency response and reconstruction programs in these areas.

B. Develop a functional M&E system will seek to provide monitoring information and feedback to improve the performance of current and future programs on emergency response, reconstruction assistance, and capacity building of host governments.

C. Develop ERCPs to prepare for possible emergency response for each of the five high risk areas: States of Chuuk and Yap in FSM, Majuro in RMI, and two outer islands in FSM and RMI, as described in Subsection 7 (Expected Results and Deliverables). of this SOW, including the establishment of a) stand-by arrangements with various service providers on: (i) medical evacuation; (ii) inter-island and international emergency air and sea transport; and (iii) logistical support for relief distribution, and b) stand-by arrangements for rapid mobilization of humanitarian aid workers and volunteers during the emergency phase to assist in the distribution of non-food items. The Implementing Partner will conduct a series of participatory workshops with these organizations to ensure that the ERCPs are responsive to the local context, and will maximize the local capacity at the national and local level, and gather multi-sectoral data on the main islands as well as in selected outer islands to aid in documenting the physical and institutional environments in FSM and RMI.

D. Provide technical assistance to OEEM and OSC and assist these agencies to develop their own Relief Operations Plans (ROPs), as described in Subsection 7 (Expected Results and Deliverables). The Implementing Partner will assist OEEM and OSC to understand the best practice in preparing ROPs, which includes a description of the areas of operations (geographical versus technical), emergency assessment, emergency management and coordination approach, logistics plan, monitoring and evaluation, communications and public information strategy.

E. Prepare Reconstruction Contingency Plans (RCPs) that will clarify the scope and process of bringing USAID reconstruction assistance to each of the following high risks areas: States of Chuuk and Yap in FSM; Majuro in RMI; a generic outer island in FSM and RMI. For each of the five locations, the Implementing Partner will prepare each of the 3 RCPs described in Subsection 7 (Expected Results and Deliverables).

F. Design and implement a series of table-top exercises or simulations to test the adequacy of the ERCPs, ROPs and RCPS. These simulation exercises will be done to put into action these plans, test the assumptions, review its strengths and weaknesses, and revise the plans accordingly. To the extent possible, the Implementing Partner will design these exercises to replicate the dynamics of a real disaster response and provide the disaster responders the opportunity to play or act-up their roles as stated in the ERCPs.

G. Develop manuals to describe the standards and processes for conducting Environmental Impact Assessments (EIA) and Environmental Management Plan (EMP). These manuals will assist the future Implementing Partners of USAID in understanding the environmental regulations and standards in repairing and rebuilding of public infrastructure, utilities and homes. The Implementing Partner will develop the EIP and EMP manuals to subscribe to the environmental regulations of USAID such as Title 22 of the Code of Federal Regulations, Part 216 (**22 CFR 216**), **42 USC 4371**, et seq., the National Environmental Policy Act (NEPA), **40 CFR 1500** of the Federal Regulation governing implementation of NEPA and ADS 204. An illustrative outline of the EIA and EMP is presented in **Annex F**.

H. Maintain and pre-position emergency commodities in key strategic locations, namely, states of Ponhpei and Yap in FSM, and in Majuro in RMI, as described in Subsection 7 (Expected Results and Deliverables).

I. Pre-position engineering designs of public infrastructure, utilities and houses adequate for people residing in the main and outer Islands. All engineering designs will comply with the construction and environmental policies of FSM, RMI and USAID and should ensure that the quality of all infrastructure is typhoon-resistant and flood-resistant for areas with high risk of inundation. All designs shall be submitted to the appropriate FSM and RMI agencies for review and concurrence. This will ensure that there is a leveling of expectations between USAID and the governments of FSM and RMI with regard to the type and quality of the infrastructure that USAID will finance.

J. Design a mechanism for distributing start-up grants to families whose houses have been damaged and to compensate individual vehicle owners, as described in Subsection 7 (Expected Results and Deliverables).

K. Conduct training activities for local disaster responders, as described in Subsection 7 (Expected Results and Deliverables). The Implementing Partner will conduct a participatory training needs assessment and will prepare the learning and training plans for the local responders in FSM and RMI. These plans will specify the new knowledge, skills and abilities that the disaster responders would like to accomplish through training and other group activity. Representatives from high risk areas, such as Chuuk, Yap, Majuro and the outer islands will be included in the pool of local disaster responders. Training courses could include: damage or needs assessment, emergency healthcare, search and rescue, protection, safety and security, among others that will be identified in the training needs assessment.

L. Collaborate with USAID/OFDA in its conduct of training activities to increase the capacity of host governments in disaster preparedness

In the event of disasters, the Agreement Officer may decide to engage the recipient (tap the agreement) to support the delivery of USAID's emergency and/or recovery and reconstruction assistance (Stages 2 and 3) or use another mechanism.

Under Stage 2. Emergency Response

A. USAID's Implementing Partner(s) will coordinate with USAID/OFDA in implementing the ERCPs and ROPs, mobilizing the stand-by arrangements indicated in Subsection 7 (Expected Results and Deliverables) and expediting the delivery of pre-positioned commodities and mechanisms defined under Stage 1. The rapid mobilization of trained emergency or humanitarian workers is required to implement the relief distribution of non-food items; installation of reverse osmosis units, rainwater catchment systems and power generators; execute emergency interventions in the areas of shelter and camp management, emergency landslide stabilization, water and sanitation, food distribution, etc.

B. For local disasters not declared by the U.S. President, USAID's Implementing Partner(s) will recommend to USAID/OFDA with USAID/P on when and how these emergency commodities stored in USAID warehouses will be replaced and/or donated to relevant government agencies in the FSM and RMI.

Under Stage 3. Recovery and Reconstruction

USAID's Implementing Partner(s) will,

A. Coordinate with USAID and FEMA for the funding of the implementation of Reconstruction Contingency Plans and all its related pre-positioning mechanisms defined in Stage 1.

B. Engage various service providers for the actual delivery of reconstruction assistance and ensure that the structure and processes are in place to provide repair and reconstruction services for significantly damaged public infrastructure, utilities, private homes and provide start-up funding for families with damaged sleeping homes and vehicles, as described in Subsection 7 (Expected Results and Deliverables).

C. Subscribe to all the standards laid out in the OBP for the reconstruction assistance package of USAID in FSM and RMI, e.g. USAID is prohibited to utilize or finance low-cost pre-fabricated metal structures, which are vulnerable to damage and deterioration in the corrosive and typhoon-exposed environments.

11. Monitoring and Evaluation

The PREPARE Implementing Partner is responsible for ongoing monitoring, reporting and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether activities and disaster preparedness plans are being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. The Implementing Partner will develop a Monitoring and Evaluation (M&E) Plan within the first three months following the project start-up and before major implementation actions are underway. The M&E Plan will describe the agreed upon framework of goals, outcomes, and outputs for the project/activity, along with indicators, baselines and targets defined for each, gender disaggregated where appropriate. The M&E Plan will also include a monitoring and evaluation plan that describes 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).

USAID is responsible for monitoring the Implementing Partner's progress in achieving the objectives of the project and for verifying that the recipient's activities being funded by USAID comply with the terms and conditions of that award. This includes assessing compliance with various policies of the Agency, such as: (i) Branding and Marking Strategy; (ii) drafting and implementation of the Gender Action Plan (GAP); (iii) monitoring of the M&E Plan implementation including the conduct of Data Quality Assessments; and (iv) Asset Inventory.

USAID will review financial reports and documentations of the Implementing Partner to verify if expenditures comply with the provisions in the award documents. USAID will also monitor compliance with (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 provides supporting data and analysis, such evaluations will be designed, implemented and independently contracted by the Mission to assure objectivity and rigor. This project will be evaluated externally by a third-party evaluation Implementing Partner to be commissioned by USAID towards the end of the period of performance. Below are possible or illustrative Evaluation questions that could aid in this performing this task:

- To what degree has the project achieved its objective and deliverables, and what contributed to the achievements and non-achievements?
- What is the efficiency of the project 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 RSM and RMI particularly to comply with the Compact Agreements

12. Other Considerations

The implementing partner will take the following considerations in the design and implementation of the Program:

A. Gender

Gender equality and female empowerment are essential for achieving USAID's development goals. The new 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 mitigate 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 Project is expected to adopt anyone of the seven output and outcome indicators, as appropriate, on gender equality, female empowerment, and gender-based violence in the USAID's Gender Policy. The Project shall also develop a strategy for ensuring the integration of gender considerations into the work plan and the M&E Plan, and for reporting on how the project benefited men and women. Progress of all related activities will be measured and verified using gender-sensitive performance indicators that will be part of the M&E Plan. All people-level indicators must be disaggregated by sex, and included in project reports.

Project activities will be implemented in a manner that promotes fair, equitable, and meaningful inclusion of both men and women in all disaster activities. As part of the application process, the applicant should include women among target groups in a representative manner as possible, and ensure increased participation of women (from the participating institutions) in project implementation.

To provide greater focus on gender equality in this project, the implementing partner will prepare a Gender Action Plan that builds on the Gender Analysis (see **Annex G**) conducted by USAID in the development of this Program description.

To provide greater focus on gender equality and female empowerment in this project, the Gender Action Plan will include the following considerations:

1) Include gender analysis and attention to gender-based violence in all disaster training activities for local responders;
2) Collect sex-disaggregated data for baselines and monitoring of all people-level indicators and do gender analysis to identify potential gender gaps and constraints, and identify how women and men benefit from the project; and,
3) Conduct gender-responsive consultations to encourage the active participation of all to ensure that the voices of both men and women are heard and reflected in disaster planning and implementation.

The preparation of the Gender Plan of Action should be guided by the USAID Gender Policy (in http://www.usaid.gov/our_work/policy_planning_and_learning/documents/GenderEqualityPolicy.pdf).

B. Geographic Information System

The implementing partner should map and track interventions and fund use using a geographic information system tool. As possible and appropriate, this could be done at the village, region or island level. Any GIS product(s) that will be developed by PREPARE 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 initial environmental examination prepared by USAID for the project, the terms of which shall be included in the award.

D. Sustainability

USAID/Philippines and the Pacific is committed to ensuring that the activities under this project 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 Quadrennial Diplomacy and Development Review, and the USAID Policy Framework FY 2011-2015 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 maintain project results and impacts beyond the life of the USAID project. Sustainability is fundamental across USAID's project cycle and involves a multi-faceted set of issues including economic, financial, social soundness, cultural, institutional capacity, political economy, technical/sectoral, and environmental.

Sustainability is fundamental to the USAID/Forward Implementation and Procurement Reform (IPR) objectives. For the IPR objective of increasing the use of host country systems and government to government implementation arrangements, project sustainability can often be closely related to the host partner government managing the activities and participating in funding, leading to continuation of achievement of project results and systems after the project is concluded. For the IPR objective of enhancing local capacity through implementation arrangements that strengthen local organizations' skills, incentives, motivations and opportunities, sustainability can be achieved because those organizations will have the ability to maintain project results and processes after USAID's support is ended. Moreover, the conjunction of government and local organization capacity, supported jointly by the IPR objectives, promotes checks and balances inherent both to project sustainability, and more broadly, to healthy and sustainable societies.

The implementing partner 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 must show:

- A recognition of and ability to operate within and response to the pressures identified above;
- A project 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 people with disabilities. 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 people with disabilities both within USAID programs and in host countries; foster a climate of nondiscrimination against people with disabilities; and support international advocacy for people with disabilities.

F. Outreach

The implementing partner is expected to articulate a plan for outreach, dissemination, and collaborative learning about the results (outputs and outcomes) of the project/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.

13. Award Administration

The resultant award and sub-awards will be administered in accordance with the U.S. Federal regulations and USAID policy. For non-U.S. organizations, the USAID Standard Provisions for Non-U.S. Non-governmental Recipients will apply. For any sub-award(s) to U.S. organizations, the 22 CFR 226, Office of Management and Budget (OMB) circulars, USAID Standard Provisions for U.S. Non-governmental Recipients, and Standard Provisions for Cost-Type Awards to Public International Organizations (PIOs) will apply.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID's policy not to award profit under assistance instruments, such as cooperative agreement instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations) may be paid under assistance agreements.

- Standard Provisions for Non-U.S. Non-governmental Recipient (http://www.usaid.gov/ploicy/ads/300/303mab.pdf)

- 22 CFR 226 – Administration of Assistance Awards to U.S. Non-governmental organizations (http://www.gpo.gov/fdsys/pkg/CSR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml)

- OMB Circulars (http://www.whitehouse.gov/omb/circulars/)

- Standard Provisions for U.S. Non-governmental Recipients (http://www.usaid.gov/policy/ads/300/303maa.pdf)

- Federal Acquisition Regulation (FAR) Part 31 (https://www.acquisition.gov/far/html/FARTOCP31.html)

- Standard Provisions for Cost-Type Awards to Public International Organizations (PIOs) (http://inside.usaid.gov/ADS/300/308mab.pdf)

14. Budget

The PREPARE budget ceiling for the five year performance period is $19 million. The budget breakdown is as follows: $4.5 million for Stage 1 activities (including maintenance of three warehouses), $1.5 million for pre-positioning of commodities; $3 million for emergency response activities (Stage 2), and $10 million for recovery and reconstruction activities (Stage 3). The budget for pre-positioning of commodities, emergency response activities, and the recovery and reconstruction activities should be treated as plug-in ceiling amounts and can only be utilized pending availability of funding and a written notification to proceed from the USAID Agreement Officer.

[END SECTION I]

SECTION II - AWARD INFORMATION

1. Anticipated Award Schedule

USAID expects to award thru cooperative agreement mechanism to responsible applicant(s) that is responsive to the objectives under this RFA. USAID reserves the right to fund any or none of the applications submitted. The anticipated total federal funding amount shall not exceed $19million with a period of performance of five (5) years, and an anticipated start date of on or before July 1, 2013.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, the initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right to enter into discussions in order to obtain clarifications, additional detail, or to suggest refinements in the project description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.
The Agreement Officer's Representative (AOR) will serve as the primary contact between USAID and the recipient; the Agreement Officer's Representative (AOR) will also serve as the alternate contact between USAID and the Recipient. The AOR will be based in USAID/Philippines and the Pacific and will assist the project in linking with other projects, Mission bilaterals, and other donors/foundations.

2. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this Cooperative Agreement is 937.

3. Type of Award

The award will be a Cooperative Agreement as USAID will be substantially involved in the implementation of the selected program as consistent with USAID policy contained in ADS Chapter 303 concerning non-governmental assistance activities: http://www.usaid.gov/policy/ads/300/303.pdf

4. Substantial Involvement

USAID/Philippines and the Pacific anticipates a close working partnership with the recipient's programs and as such, in accordance with the ADS Chapter 303.3.11 USAID/Philippines and the Pacific shall be substantially involved during the implementation of this Cooperative Agreement in the following ways:

A. Approval of the recipient's annual work/implementation plans, including: planned activities for the following year, travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols; reports; monitoring and evaluation plans; and all modifications that describe the specific activities to be to be carried out under the Cooperative Agreement;

B. Approval of and any changes to specified key personnel as designated below:

1) Chief of Party and Disaster Assistance Specialist (COP)
2) Program Officer/Emergency Assistance Specialist (PO/EAS)
3) Program Officer/Reconstruction Assistance Specialist (PO/RAS)

C. Agency and recipient joint participation including selection of advisory committee members, sub-award recipients and concurrence on the substantive provisions of the sub-awards (if any);

D. Approval of joint and co-funded activities with other Cooperating Agencies and other development partners;

E. Approval of a Monitoring and Evaluation Plan; and,

F. Approval to specifically enter into Stage 2 and/or 3.

In accordance with ADS 303.3.11 the Agreement Officer has delegated the Agreement Officer's Representative (AOR) to approve the implementation/work plans and monitoring and evaluation plans. The AOR will also give concurrence with the remaining elements within the underlying elements within the substantial involvement section.

[END SECTION II]

SECTION III – ELIGIBILITY INFORMATION

1. Eligibility Requirements

All international nongovernmental organizations (NGOs), public international organizations (PIOs), and consortium of local and international firms are also eligible to submit their application(s) against the RFA. USAID encourages application from potential new partners.

Applicants must have established financial management, monitoring and evaluation, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees/recipients will be subject to a responsibility determination (which may include a pre-award survey) issued by a warranted Agreements Officer in USAID.

Any recipient must be a responsible entity. Details on USAID's pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303, section 303.3.9: http://www.usaid.gov/policy/ads/300/303.pdf. For Public International Organizations (PIOs), please see ADS 308.3.2.1.

There is no cost share requirement under this RFA.

2. Electronic Payment

Across the world today, USAID implementing partners spend millions of dollars of payments in cash every year. These payments may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. Implementing partners also often support businesses in a specific sector or along a value chain. They advise on how to build sound financial management systems, and marketing techniques, among other technical assistance. Often these businesses rely on cash in their financial management systems.

Advances in communication technology and network capacities have enabled innovative new ways to make payments through mobile devices, smart cards and other electronic methods. The transition from cash to electronic payments has potentially significant benefits for all groups involved:

- **Cost Savings.** Decreasing the costs associated with physical cash operations
- **Transparency**. Increased accountability and tracking of financial flows
- **Security**. Safer delivery of payments, especially for women
- **Financial Inclusion.** Reaching those not yet in the financial services sector
- **New Market Access.** Opening doors for fee-for-service business models to previously unserved areas due to high transaction costs.

Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, pre-paid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operators and/or banks.

Of all the electronic payment systems, mobile money appears to be the least understood, yet the technology and infrastructure behind it might have the longest reach and greatest potential audience. Mobile money enables individuals to store money, seamlessly transfer it to friends and family in need, and withdraw it without ever travelling to a bank. Depending on the country, users may also be able to pay for goods and services and access a whole range of financial services through their mobile phone. This can be life-changing for the 2.5 billion people without access to basic financial services. Mobile money can also directly support USAID's broader goals because it increases financial inclusion, improves transparency, and roots out corruption by preventing leakages and also increases broad based economic growth.

Though the potential benefits are clear, there is still more work to be done and USAID has a unique opportunity to leverage financial and political influence to drive greater usage of electronic payment systems. To that end, prospective partners should note the following:

USAID encourages host country governments, bilateral and multilateral development partners, contractors, subcontractors, grantees, sub-grantees, and private sector alliance partners to help strengthen the financial services sector in the countries we work. Where programs propose cash distributions, partners should consider incorporating electronic payment systems into project design and implementation where feasible, thereby reducing reliance on physical cash.

If you are considering the use of electronic payments in your operations and programs, please include in your application a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. Examples of operational costs that can use e-payments are: temporary staff salaries; vendor payments; travel per-diem for staff. Examples of project costs that can use e-payments are: cash for work payments; payment to trainers or trainers of trainers; direct grants to beneficiaries. This discussion of the type of payment is for informational purposes and for our understanding of how you propose to pay recipients/beneficiaries. This information will be used by USAID to understand and measure the impact of USAID's promotion of the use of electronic payments by implementing partners. The information provided in your proposal/application will not be an evaluation factor unless specifically stated as such in the evaluation criteria in this solicitation document.

[END SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INSTRUCTIONS

1. Submission of Applications

A. Application for Federal Assistance

The applicant must fill out the SF-424, Application for Federal Assistance, as indicated by the form. A sample form is attached with the corresponding email, the family of SF-424 standard forms for SF-424 (**Annex A-1**), Application for Federal Assistance; SF-424 A (**Annex A-2**), Budget Information – Non-construction Programs; and SF-424 B (**Annex A-3**), Assurances – Non-construction Programs can be found at: http://apply07.grants.gov/apply/FormLinks?family=15.

B. Content and Form of Application Submission

Applications shall be submitted in two separate parts:

1) Technical Application

2) Cost or Business Application

Technical and Cost/business applications must be submitted separately. One original and four hard copies of the technical application while one original and one hard copy of the cost/business application shall be submitted. Applications shall be submitted electronically via email followed by hard copy, as detailed below.

The applicant shall sign the application and certifications and print or type its name on the cover page of the technical and cost applications. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Applicants should retain for their records at least one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application.

1) Hard copy submission

Hard copies of applications shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages.

Applicants are to submit one (1) original and four (4) hard copies of their technical application while one (1) original and one (1) hard copy of cost applications. Applicants are instructed to submit technical and cost applications in response to the RFA as separate documents following the guidance provided herein.

Telegraphic or fax applications are NOT authorized for this RFA and will not be accepted. Hard copies are due at the time and date so indicated on the cover letter. **Applications only received in electronic form will not be considered**.

The address for hand-carried and courier-delivered applications is:

Andrew Holland, CPCM
Supervisory Agreement Officer
US Agency for International Development
Attn: Franco Calixto
Acquisition & Assistance Specialist, ROAA
8/F, PNB Financial Center
Pres. Diosdado Macapagal Boulevard
1308 Pasay City, Philippines
Ref: RFA-492-13-000002
Technical/Cost Application

2) Electronic copy:

In addition to the hard copy submissions please submit applications by email, (up to 5 MB limit per email) to the email addresses mentioned hereafter.

Applications shall be submitted electronically to the following email addresses: ManilaPrepare@usaid.gov and orpmailbox@usaid.gov

- Software for email attachments must be: Microsoft Word (for narrative text) and Excel (for budgets). All formulas in the Excel spreadsheets must be visible (no locked cells). Documents requiring a signature may be sent as a PDF.

- The attachment should be formatted with a 5MB limit per email. Because of USAID's system restriction, do not send zipped files. If this requires the delivery of multiple emails, please indicate in the subject line whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if the organization's name is ABXY Consulting, and the cost application is divided and being sent in as two emails, the first email should have a subject line which says: "USAID/Philippines and the Pacific, RFA-492-13-000002: ABXY, Cost Application, Part 1 of 2".

- After the application has been sent by email, please immediately check for confirmation that the attachments were indeed sent. If a transmission error is discovered, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to state that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc... Also, please do not send the same email to more than one time unless there has been a change, and if so, please note that it is a corrected email. If multiple copies are sent of the same email, USAID will not know if there has been any change from one email to the next.

- To avoid confusion, duplication, and overcrowding problems with USAID's email system, only one authorized person from the organization should send in the email submissions.

Applicants are encouraged to obtain confirmation of receipt of their applications.

C. Submission Dates and Times

Applications must be received on or before the closing date and time indicated in the cover letter to this RFA. Any late or incomplete applications will only be considered at the discretion of the Agreement Officer (see ADS 303.3.6.7). **Acceptance is upon receipt of the hard copy NOT the electronic copy**.

2. Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Technical applications should take into account requirements of the project and evaluation criteria found in Section V. Therefore it should be specific, complete and presented concisely. A lengthy application may not in and of itself constitute a well thought out application.

Technical applications shall **not exceed twenty (20) pages using 11 point Calibri font, single-spaced using 8 ½ x 11 paper with 1-inch margins**. Pages should be numbered at the bottom. Unnecessarily elaborate brochures, art-work and other presentation aids beyond those sufficient to present a complete and effective application in response to this RFA are not desired, and may be construed as an indication of the prospective recipient's lack of cost consciousness. **Any pages in excess of the above mentioned limit shall not be reviewed.** Tables, charts, graphs and graphics contained in the technical application, not otherwise excluded below, are included within the above page limitation.

Applicants may use annexes for such required supplemental information. A listing of the required annexes is provided in item G below.

To facilitate the competitive review of the applications, applications must conform to the format prescribed below:

A. Cover page [**not included in page limit**], to contain the following information:
   - RFA number and title for which this application is being submitted
   - Applicant Name, address, TIN, DUNS/CCR, and point of contact information for technical and cost applications; Applicants are encouraged to obtain their DUNS number and register with CCR. Applicants may submit applications without these. <u>However, a DUNS number and CCR registration are required of any entity prior to receipt of an award.</u>
   - Names of sub-awardees/sub-recipients, if any

B. Table of Contents listing all page numbers and attachments [**not included in page limit**]

C. List of acronyms [**optional and not included in page limit**]

D. Executive summary **[not included in page limit but not to exceed a one (1) page]**

E. Annexes [**not included in page limit**] should be lettered (e.g. Annex A, Annex B, etc…)

   - Required annexes:
     - Draft life-of-project workplan, with gender action plan
     - Draft Monitoring and Evaluation (M&E) Plan
     - Organizational chart
     - Curriculum Vitae of the three key personnel (page limit 3 per CV)
     - Past Performance References (3 references)
     - Sustainability Plan
     - Draft Branding Strategy and Marking Plan
   - Optional Annexes are permitted and may include curriculum vitae of additional named personnel and letters of commitment from partners

3. Technical Application Instructions

The project management, institutional capacity, and staffing components of the application should include the information specified in the paragraphs below.

A. Project Understanding and Technical Approach (Criteria #1)

Applicants must describe their approach to achieving the objective of PREPARE to include all stages. USAID is interested in more than a simple identification of problems restating the priority areas identified in this solicitation. Applicants must demonstrate a clear understanding of the context in FSM and RMI, in which this project is being implemented, and propose general strategies and specific tactics that will have the greatest chance 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 disaster response stage activities.

The applicant should demonstrate an understanding of the technical approach, issue focus, and specific government counterparts involved in all stages of disaster management discussed in Section I, Subsection 7. The applicant should demonstrate awareness of relevant and past and current assistance projects of USAID and other donors, and how to position this project vis-à-vis these other activities. The applicant should also demonstrate understanding of the importance of PREPARE in responding to the USG's agreements with FSM and RMI.

For the purposes of evaluating applications, applicants are required to include in their technical application a detailed description of activities for each of the nine (9) deliverables described in Section I, Subsection 7.

The application should present the following:

- Approach – Describe detailed approaches, options and important considerations to guide implementation, sustainability, and exit strategy in reference to the project's objectives in attaining the expected results and deliverables. Include discussions of challenges, and how to surmount these through a thorough description of activities.
- Arrangements – What arrangements are necessary to ensure that project inputs get translated to project outputs, and in turn project outputs into the project objectives and results.
- Partners (if any) – roles and capacity to implement the project.

B. Management Plan and Implementation Schedule (Criteria #2)

Applicants are required to submit a management plan which outlines their overall management approach toward project planning, implementation, monitoring and evaluation of activities needed to deliver the key results and deliverables under Section I, Subsection 7. The applicant will submit an implementation schedule or a Gantt chart that discusses activities and major milestones including the reports that will be submitted to USAID for the first year. The Management Plan must provide:

- Description of the roles and responsibilities of the full-time COP, key personnel, and home office support (if any), and how they will be organized to meet the objectives of the PREPARE Project stages, and achieve the deliverables of the Project.
- Explain the applicant's ability to find qualified sub-Implementing Partners, consultants and grantees; and
- Describe the proposed Draft Monitoring and Evaluation Plan and how baselines will be collected.

They should clearly specify the roles of the staff and the relationships between all partners and stakeholders. The management plan should cover all stages and should describe the general approach to management and oversight that will be followed including:

- a proposed organizational structure
- the rationale for the structure
- brief descriptions for the key positions in the structure
- discussion on the matching of long-term and short-term personnel with the skills needed to implement the project
- coordination mechanisms with host government entities and other projects
- indicative timeframe of the project to include the detailed project implementation plan

The plan should also outline how the Chief of Party (COP) will liaise with the Agreement Officer's Representative and the Host Government counterpart(s), and reporting and management across sub-grantees and other partners, if any. Special attention should be given to how the collaborative relationships with the key stakeholders who are essential to the success of the project, will be managed.

Furthermore, the Applicant should describe:

- how project activities for all stages of disaster response will be managed;
- how the project will be cost efficient for each stages of disaster response;
- management structure and relationship to any field or regional office, if applicable;
- planned financial management and controls;
- plans for engaging with USAID, Host Government and other donors and partners (both public and private);
- the gender consideration in the conduct of project activities
- contingency planning in case of any management issues that arise; and
- clear plan for communications and reporting with sub-awards, if any

The management plan must include a Draft Life of Project Work Plan for achieving the expected project results clearly outlining links between the proposed results, conceptual approach, and performance indicators, and propose a realistic timeline for achieving the project results. The Draft Life of Project Work Plan can be presented as an Annex to the technical application.

The draft life of project work plan must include a complete activity description (including illustrative activities for each of the components/stages and tasks), specify deliverables, and identify time, level of effort, commodities, and other resources required for each 0of the performance requirements.

If you are considering the use of electronic payments in your operations and projects, please include in your application a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. This description can be integrated into the implementation plan of the applicant. Payments covered under this may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. As part of USAID's Hortatory Language for Introduction of Mobile Money – Better Than Cash (BTC), applicants are requested to provide details on the mechanism should it propose to use electronic payment system in place of cash payments. Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, pre-paid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operations and/or banks. The requested details would entail a brief explanation of the selected method of electronic payment, where feasible, how the applicant proposes to reduce the reliance on physical cash.

The information, however, on the electronic payment system description will not be used as part of the evaluation criteria.

C. Personnel Qualifications (Criteria #3)

Applicants will furnish the personnel with the requisite ability and skills, facilities, equipment, materials and services and otherwise do all things necessary to perform in an efficient and effective manner to accomplish the various work components.

The PREPARE Project staff will consist of a full-time Chief of Party (COP), based in Pohnpei and four full-time local hires, consisting of two Program Officers and two Finance/Administrative Officers. These local positions will be based in Pohnpei and Majuro, respectively.

Applicant must describe how the COP and other key personnel qualifications are matched with the skills needed to implement the project, and how each key personnel is particularly well-suited for this assignment. Applicant's experience should demonstrate its ability to deliver expected results and achieve the deliverables described in Subsection 7 (Expected Results and Deliverables). Applicant should also describe experience working with host governments and with USAID (if applicable), and express commitment to working full-time for the duration of the Project.

The key personnel of the project team consist of the following positions:

1) Chief of Party and Disaster Assistance Specialist (COP). The COP will provide leadership and ensure that all tasks are executed towards achieving the project objectives. The COP should have the following qualifications:

   - Master's Degree in management, public administration, economics, engineering or related fields
   - At least 10 years of demonstrated experience in disaster management, preparation of contingency plans, disaster simulation exercises, working with host governments and humanitarian organizations, training and mentoring of disaster responders and
   - Experience in working in the Pacific Islands

2) Program Officer/Emergency Assistance Specialist (PO/EAS). The PO/EAS will be responsible in providing technical expertise in analyzing and planning for potential disaster risks; communicating and collaborating with local government emergency services and local NGOs, academe and other humanitarian aid agencies; preparing and conducting disaster response exercises; and supporting the recovery of local communities to their pre-disaster state. The PO/EAS will be based in Pohnpei, Micronesia and will assist the COP in the following areas: preparing emergency contingency plans; training of government personnel in preparing relief operations plans; assessing emergency preparedness and response capabilities related to emergency management; providing necessary support and assistance on civil defense and emergency matters to public agencies, businesses, schools and other groups; and providing support communications, disaster intelligence and related information. The PO/EAS should have the following qualifications:

   - Bachelor's degree in management, communications or social sciences, engineering or related fields;
   - At least four (4) years of relevant experience in disaster preparedness, contingency planning and management working with national, state, and local governments and civil society;
   - Familiarity with the Pacific Islands environment
   - Ability to speak the native language is preferred.

3) Program Officer/Reconstruction Assistance Specialist (PO/RAS). The PO/RAS will also be responsible in providing technical expertise in analyzing and planning for potential disaster risks;

communicating and collaborating with local government emergency services and local NGOs, academe and other humanitarian aid agencies; preparing and conducting disaster response exercises; and supporting the recovery of local communities to their pre-disaster state. The PO/RAS will be based in Majuro, Marshall Islands and will support the COP in the following areas: preparing reconstruction contingency plans; reviewing studies, plans and specifications prepared by consultants and host government counterparts to ensure consistency among all reconstruction interventions; preparing possible models for the delivery of start-up grants to ensure grants are delivered in a timely manner and in accordance with established project guidelines. The PO/RAS should have the following qualifications:

- Bachelor's degree in management, engineering or related fields;
- At least four (4) years of relevant experience in disaster preparedness, contingency planning and management working with national, state, and local governments and civil society;
- Familiarity with the Pacific Islands environment
- Ability to speak the native language is preferred.

The other local hires are the two Finance/Administration Officers (FAO) who will be based in Pohnpei and Majuro, respectively. They will be responsible for maintaining financial and administrative operations of the project and ensuring that all transactions and financial records comply with USAID standards and regulations. S/He will ensure that the project finances are maintained in an accurate and timely manner. The FAOs should be an accountant, with at least 4 years of work experience with development agencies, and able to speak the local language. Familiarity with USAID's financial standards and regulations is preferred.

Short-term consultants will be hired to assist the project team in accomplishing various tasks and deliverables. For example, short-term consultants may include: disaster response and simulation specialists, logistics specialist, civil engineer and environmental specialist.

Considering the scale and magnitude of tasks expected from the Implementing Partner, the COP will be expected to work with other foreign and local disaster experts for activities to be approved and funded by FEMA and/or USAID/OFDA. The COP will also be responsible for hiring the services of various service providers for standby-arrangements, and for managing the funds for these purposes, subject to the financial and audit standards and regulations of USAID.

The USAID Agreement Officer's Representative (AOR) who will manage the PREPARE Project will work closely with the project team. This Project Manager will bring technical expertise in the field of engineering and capacity building and provide assistance in the review of engineering designs, reconstruction contingency plans, identification of possible mitigation activities, among other services.

The application must include a table or chart showing the composition and organizational structure of the entire implementation team. Proposed personnel not yet identified may be shown as "TBD" (to be determined).

Furthermore:

- A Curriculum Vitae (CV) should be provided for the three (3) key personnel;
- A statement signed by each person proposed as key personnel confirming his/her present intention to service in the stated position and his/her present availability to serve for the term of the proposed agreement, including rapid mobilization;
- Three references for each key personnel, including telephone and email addresses for each reference (this information can be provided under an Annex to the technical application)
- CV of all other named non-key personnel (not to exceed 3 pages per CV); and

- Three references for each named non-key candidate, including telephone, physical address, and email addresses for each reference (this information can be provided under an Annex to the technical application)

The applicant is urged to identify additional personnel and justify why they are deemed essential for the success of the Project.

D. Institutional Experience and Past Performance (Criteria #4)

Applicants must offer evidence of their technical resources and organizational expertise in addressing relevant problems and issues in disaster management, particularly with reference to the three stages described in Section I, Subsection 7 (Expected Results and Deliverables). The applicant shall demonstrate its ability to field qualified staff, ability to work with host governments, local organizations and ability to coordinate and mobilize resources and manage a broad range of activities within a limited timeframe as well as offer good value for USG funds.

The technical proposal should include in the Annex section a list of relevant contracts, grants, task orders, etc. implemented by the applicant. The quality of applicants' past performance on previous contracts with USAID and other U.S. government agencies will be assessed. The principal factors to be assessed are the following:

- The overall quality of the product or service provided;
- Timeliness of performance;
- Cost control performance;
- End-user satisfaction with performance; and
- Performance of key personnel.

The applicant must provide past performance references for itself and each major sub-Implementing Partner or grantee.

Care should be taken to establish the relevance of past experience to this project and the basis for reliance upon that experience as an indicator of success on this project. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
    - Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
    - Activities in education and skills development, especially at the local level, as well as policy advocacy experience
    - Collaboration with donors and host country governments
- Evidence of a successful record of implementing similar projects. Applicants should describe U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, and others involving similar or related programs received by your organization during the five years before the application, providing further details in Past Performance References in an Annex;
- Relevant experience with proposed approaches;
- Institutional strength as represented by the breadth and depth of experienced sub-recipient capabilities and expertise.

D. Required Annex Descriptions

1) Draft Life of Project Work Plan:

The Applicant must develop annual work plans, aligned with each USG fiscal year of the agreement. A draft work plan must be submitted with the application, with Year One to be finalized with the AOR within 45 days of signature of the Agreement. The Year Two work plan should be prepared and submitted to the AOR not later than 45 days before the close of Year One.

The work plan should include, at a minimum:

- Proposed accomplishments and expected progress towards achieving project results and performance measures tied to the Monitoring and Evaluation (M&E) Plan;
- Timeline for implementation of the year's proposed activities, including target completion dates;
- Information on how activities will be implemented;
- Gender action plan that will define how gender will be integrated in the project cycle.
- Personnel requirements to achieve expected outcomes;
- Details of collaboration with other major partners;
- Information on Inclusive Development; and
- Outreach Plan

2) Draft Monitoring and Evaluation (M&E) Plan:

The plan should identify appropriate milestones, gender sensitive indicators and targets, as well as plans to gather and utilize existing baseline data. The M&E Plan is expected to reflect concern for results and include proper impact and output indicators. Applicants are encouraged to use the indicators suggested in the Program Description and additional USAID standard indicators as applicable. Indicators should be disaggregated by gender and age, as appropriate and feasible. The schedule for data collection and detailed plans for data analysis, review, and reporting should be described. Applicants are directed to adhere to ADS 203 (November 2012) for guidance in the preparation of M&E Plan.

3) Organizational chart:

Applicants must submit a detailed organizational chart for USAID's review. The organizational chart should be both structural and functional. At a minimum, it should clearly define the communication and reporting structure for Key Personnel and all project staff. The supervisory responsibility, authority, and accountability for all staff should be included in the chart. Relationship with the home office may be included, as can STTA staff, where appropriate. Functionally, the chart should include bullets to briefly describe job functions and roles of staff. The chart should not exceed two pages in length.

4) Past Performance and Experience References:

- Past Performance. The Applicant should present up to three contracts, grants, or cooperative agreements, not necessarily with USAID, in which the primary Applicant has implemented similar or related programs during the past three years. This information is to include projects of similar complexity and magnitude involving technical assistance to the education sector. If the Applicant is a consortium, provide information on past experience for all identified partners. Reference information is to include the contract information for an official point of contact, award or contract numbers, and a brief description of the work performed by the

Applicant's partners and/or sub-awardees/sub-recipients. Copies of certificates of Project Completions or any evidentiary documentation should be forwarded as an Annex to the technical application.

- Past Experience. Applicants may supply a table showing previous experience by award, not to exceed one page. In the table list, show the following:

    - Name of awarding organization or agency;
    - Address of awarding organization or agency;
    - Place of performance of services or program;
    - Award number;
    - Amount of award;
    - Term of award (begin and end dates of services/program);
    - Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative of that organization or agency; and
    - Brief description of the program

5) Sustainability plan:

Applicants must provide a preliminary sustainability plan of how project strategies and methodologies will be embedded within and/or transitioned to Host Government institutions throughout the project performance period. This preliminary plan will include a set of annual benchmarks and indicators that quantify the increasing sustainability of these approaches. This should describe how the applicant plans to conduct this exercise and plans to influence the target local government units and help them establish a system to sustain and/or replicate the models. The Sustainability plan will not exceed two pages in length.

6) 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. 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. The Agreement Officer will review for adequacy the proposed Marking Plan and will negotiate, approve and include the Marking Plan in the award. *Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer will make the apparent successful applicant ineligible for award.*

22 CFR 226.91(f) requires that Applicants submit a Branding & Marking Plan that describes:

- How the program, project, or activity is named and positioned;
- How it is promoted and communicated to beneficiaries and cooperating country citizens;
- Identifies all donors and explains how they will be acknowledged;
- Contains the required information on naming and positioning the USAID-funded program, project, or activity;
- Promotes and communicates to cooperating country beneficiaries and citizens that the USAID-funded program, project, or activity is "from the American People"; and
- Is consistent with the stated objectives of the award.

Further information on Branding & Marking can be found in ADS Chapter 320: http://www.usaid.gov/policy/ads/300/320.pdf, or in the Branding website at http://www.usaid.gov/branding/assistance.html.

4. Cost/Business Application Format

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, USAID will not to burden applicants with undue requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Cost Submission

A budget narrative (in Microsoft Word) which provides in detail the total costs for implementation of the project. The budget narrative must provide detailed budget notes and supporting justification of all proposed budget line items. It must clearly identify the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, and if applicable, project activity cost contributions for in-kind services, USAID share amounts, cash contributions (all cash must be converted to US currency), or resource leveraging for the period of performance; a summary of the budget must be submitted using Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and 424B (Assuranced-Non-construction Programs) which can be downloaded from http://apply07.grants.gov/apply/FormLinks?family=15. The above mentioned forms are found in **Annex A-1**, **Annex A-2** and **Annex A-3**, respectively. Budget should be expressed in US Dollars.

A five-year budget of which an electronic copy of a budget (in Microsoft Excel) with calculations shown in the spreadsheet – calculations and formula shall be accessible and not hidden or protected by password should be submitted.

USAID will evaluate the cost/business application separately for cost effectiveness and realism. USAID will require the following detailed information from the applicant organization:

1) The cost/business application must be completely separate from the Applicant's technical application, and submitted by using SF-424 (**Annex A-1**) and SF-424A (**Annex A-2**) "Application for Federal Assistance." These forms can be downloaded online at http://apply07.grants.gov/apply/FormLinks?family=15

2) The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word) on a sent via email and saved in CD-ROM. Calculations and formula shall be accessible and not hidden or protected by password.

3) The cost/business application must be for the period of the proposed project (five years) and use the budget format shown in the SF-424A (**Annex A-2**). The form is downloadable online at http://apply07.grants.gov/apply/FormLinks?family=15. If the applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

4) If the Applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document(s) should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have

accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.

5) Applicants must complete the required Representations and Certifications under **Annex B** with the cost/business application.

6) The Applicant's proposed budget should provide estimates of the project based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

7) The cost/business application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully project budgeting, financial and related project reporting procedures.

8) Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:

- The breakdown of all costs associated with the project according to costs of, if applicable, headquarters, and/or regional offices;
- The breakdown of all costs according to each partner organization involved in the project;
- The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
- Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
- The costs proposed for "training" and "sub-awards" must be itemized within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget;
- Procurement plan for commodities if needed (although not encouraged); and
- Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.

9) Applicants must provide cost element details:

Applicants shall provide this information through the use of detailed spreadsheets, budget narratives and footnotes. The following standard cost elements shall be included in the submission when applicable and include costs for each year. USAID will obligate funding for Stage 1 activities (including maintenance of three warehouses) only and should not exceed $4.5 million. USAID Agreement Officer may obligate funding for Stages 2 and 3 as well as for the pre-positioning of commodities for the warehouses as the funding become available from OFDA and/or FEMA.

Cost Elements	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Total**
1. Salaries and Wages						
2. Fringe Benefits						
3. Consultants (if any)						
4. Travel and Transportation						
5. Equipment and Supplies						
6. Other Direct Costs						

Cost Elements	Year 1	Year 2	Year 3	Year 4	Year 5	Total
7. Prepositioning of Commodities*						1,500,000
8. Emergency Response Funding*						3,000,000
9. Recovery and Reconstruction Funding*						10,000,000
10. Indirect Cost						
11. Estimated Cost (sum of 1 to 10)						

*Conditional budget pending obligation from OFDA, FEMA and/or other sources

Illustrative description of the cost elements are provided below:

a) Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
b) Fringe Benefits – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
c) Consultants – If applicant proposes for short-term expert services rendered by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the awardee/recipient. Costs of consultants should be broken down by person months or days;
d) Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.
e) Equipment and Supplies – Estimated equipment (i.e. model number, cost per unit, quantity) and office supplies and other related supply items;
f) Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
g) Prepositioning of Commodities – Estimated cost of emergency commodities to be purchased and stored in the Project warehouses (3 warehouses). The estimates are strictly intended for pre-positioning items. Such activity and cost can only be initiated by the written direction to proceed from the Agreement Officer.
h) Emergency Response Funding – Estimated cost of emergency response activities (stage 2). These resource estimates are primarily to provide a surge capacity of the implementing partner/s during a disaster and can only be utilized provided funding is available from any of the sources, such as OFDA, FEMA, USAID, US Embassy and upon issuance of a written direction to proceed from the Agreement Officer.
i) Recovery and Reconstruction Funding – Estimated cost of recovery and reconstruction activities (stage 3). These resource estimates are primarily to provide the required services in an expedited manner during a disaster and can only be utilized provided funding is available from FEMA or any of the sources, such as OFDA, USAID, US Embassy and upon issuance of a written notification to proceed from the Agreement Officer. Estimated costs of construction activities at a single Project Site should not exceed $500,000.
j) Indirect Costs – These remaining costs (indirect) that are to be allocated to intermediate or two or more final cost objectives. Indirect costs and bases as provided for in an applicant's indirect cost rate agreement with the Government, or if approved rates have not been previously

established with the Government, a breakdown of bases, pools, method of determining the rates and description of costs. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.). If applicant does not have a NICRA, the following shall be included, as applicable:

- Copies of the audited (by a certified public accountant or other auditor satisfactory to USAID) financial statements for the past three years;
- Projected budget, cash flow and organizational chart; and
- Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel; and
- Copies of the Applicant's personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel, and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. Provide the name, address, and phone number of the cognizant reviewing official or with sufficient information to determine the reasonableness of the rates.

Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Have adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- Has a satisfactory record of integrity and business ethics.
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

The following are cost assumptions that need to be reflected in the cost application:

- Project Main Office location has to be in Pohnpei with a satellite office in Majuro needs to be established.

B. Business Submission

1) Required Certifications, Assurances

- A signed copy of Certifications and Assurances, which includes:
  - Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
  - Restrictions on Lobbying (22 CFR 227);
    Prohibition on Assistance to Drug Traffickers (ADS 206); and
  - Certification Regarding Terrorist Funding (AAPD 04-14).

- The Applicant must complete Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and the SF-424B, Assuranced-Non-construction Programs, as indicated on the form. These forms are available at: http://apply07.grants.gov/apply/FormLinks?family=15.

- Other certifications and statements found in Certifications, Assurances, and Other Statements of the Recipient:

    - The Survey on Ensuring Equal Opportunity for Applicants;
    - A Data Universal Numbering System (DUNS) number (See Use of a Universal Identifier by Grant Applicants for background information);
    - A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, (ADS 206.3.10) when applicable; and
    - A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking (ADS 206.3.10) when applicable

Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

C. Intergovernmental Review

The application will be reviewed by both the Agreement official and a Technical Evaluation Committee.

D. Funding Restrictions

Funding restrictions such as limitations on allowable activities for a particular program, or limitations on direct costs, such as the purchase of equipment.

E. Other Submission Requirements

- Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

- Proprietary Information – Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

    - Mark data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, to mark the title page with the following legend:

      "This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a cooperative agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting agreement. 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 pages [insert numbers or other identification of sheets]; and"

- Mark each sheet of data it wishes to restrict with the following legend:

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

F. Explanation to Prospective Applicants

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions shall be received no later than the date listed on the cover page. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

G. Telegraphic or Faxed Applications

Telegraphic or faxed applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

5. Additional Considerations

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and the certifications, and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who have questions concerning the contents of this RFA should submit them in writing to USAID/Philippines and the Pacific/ROAA via email at ManilaPrepare@usaid.gov and orpmailbox@usaid.gov by no later than **February 22, 2013 4:00 p.m**. Manila, Philippines time. Any information given to one applicant concerning this RFA will also be furnished to all other applicants as an amendment to this RFA.

[END SECTION IV]

SECTION V - APPLICATION REVIEW INFORMATION

1. Overview

The criteria that all applications will be reviewed against are listed below so that Applicants will know which areas require emphasis in applications. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

These technical evaluation criteria have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application(s). USAID will award to the Applicant(s) whose application(s) best meet(s) the program description.

Technical, cost and other factors will be evaluated relative to each other. Applicants are forewarned that an application with the lowest estimated cost may not be selected if an award to a higher priced application affords the Government a greater overall benefit.

All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

The Government may evaluate applications and award a cooperative agreement without discussions with Applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. Therefore, each initial offer should contain the Applicant's best terms from a cost or price and technical standpoint.

The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an Award to the applicants with whom discussions are being held.

2. Technical Evaluation Criteria

The evaluation criteria prescribed herein have been tailored to the requirements of this particular RFA. 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.

The technical application will be scored by a Technical Evaluation Committee (TEC) using criteria that include: a) Project Understanding and Technical Approach; b) Management Plan and Implementation Schedule; c) Personnel Qualifications; and d) Institutional Experience and Past Performance.

The relative importance of each criterion is indicated by approximate weight by points. A total of 100 points is possible for the complete application. The selection criteria below are presented by major category, with relative order of importance, so that applications will know which areas require emphasis in the preparation of applications.

A summary of technical evaluation criteria follows:

Criteria	**Maximum Points**
A. Project Understanding and Technical Approach	15
B. Management Plan and Implementation Schedule	20
C. Personnel Qualification	40
1) Chief of Party qualifications (20 points) 2) PO/EAS qualifications (10 points) 3) PO/RAS qualifications (10 points)	
D. Institutional Experience and Past Performance	25
1) Institutional Experience (15 points) 2) Past Performance (10 points)	
Total	**100 points**

To facilitate the review of applications, narrative portions of applications should be organized in the same order as the broad evaluation criteria; USAID/Philippines and the Pacific will examine the overall merit and feasibility of the applications, as well as specific criteria relevant to each component as elaborated below.

- Project Understanding and Technical Approach
- Management Plan and Implementation Schedule
- Personnel Qualification
- Institutional Experience and Past Performance

Descriptions for each Criterion are as follows:

A. Project Understanding and Technical Approach (Criteria #1)

The applications will be evaluated on how each applicant presents a firm: (i) understanding of the prevailing challenges and opportunities for improving disaster management in the Pacific (particularly in FSM and RMI); (ii) understanding of the technical approach, issue focus, and specific government counterparts involved in disaster management; (iii) understanding of all the potential stages of disaster response as outlined in the RFA (iv) awareness of relevant past and current assistance programs of USAID and other donors, and how to position this project with these other activities; and, (v) understanding of the importance of PREPARE in responding to the bilateral agreements of the USG with FSM and RMI and meeting Operational Blueprint (OBP) requirements.

Evaluation will also assess the degree to which the proposed approach: (i) contains strategic, innovative, creative thinking; (ii) is technically sound; (iii) is likely to produce sustainable results; (iv) meets the objectives of the project as described in this RFA; and (v) addresses gender equality.

B. Management Plan and Implementation Schedule (Criteria #2)

Applicants will be evaluated on the completeness and feasibility of the plan for overall management planning, implementation, monitoring and evaluation of all stages of potential USG responses as outlined in the RFA with particular focus on:

- Organizational structure and the relationship/coordination mechanisms between all partners, affiliated projects, and other stakeholders
- Mobilization, planning, implementation, and coordination mechanisms;
- Cost effectiveness;

- Implementation timelines;
- Host government and local NGO/PVO involvement in the project;
- Involvement of other key stakeholders;
- Draft Monitoring and Evaluation Plan, including key performance indicators, link of activities-outputs-outcomes, key evaluation questions, and how baselines will be collected;
- Gender consideration and other cross cutting issues (i.e., environmental mitigation).

C. Personnel Qualifications (Criteria #3)

The Technical Evaluation Committee will examine how well the applicant has matched long- and short-term candidates with the skills needed to implement all potential stages of the project. Consequently, the applicant should explain how and why the proposed personnel are particularly well-suited for their assignments. To reiterate, USAID believes that the COP, as senior strategist and project manager, will be vital in determining the prospects for success of the PREPARE Project.

Applicant will be assessed on the soundness of the team composition and structure, and on whether or not the key personnel's experience and expertise is relevant and appropriate to achieve the objectives of the project.

Applications will also be evaluated on how it conveys:

1) Demonstrated ability of the Chief of Party to: (i) lead the project and obtain results; (ii) establish and manage the partnerships essential to project success; and (iii) collaborate with counterparts at various levels of government and the private sector in managing international development assistance projects;

2) Demonstrated qualification of the other key personnel (PO/EAS and PO/RAS) complementary to the COP including demonstrated experience in disaster risk assessment, disaster response management, infrastructure rehabilitation and reconstruction, and collaborative work with local government emergency services and local NGOs, academe and other humanitarian aid agencies.

D. Institutional Experience and Past Performance (Criteria #4)

1) Institutional Experience

Applicants are to be evaluated based on the description on the relevance of the firm's previous experience to all the project areas covered by PREPARE. Applicant will also be evaluated based on its demonstrated capability with regard to its ability to field qualified staff, its ability to coordinate and manage a broad range of activities being carried out by grantees, consultants, and sub-recipients/sub-contractors; its ability to mobilize resources and personnel, and deliver results within a limited time frame for all the similar stages of disaster response covered in the RFA,; and its ability to ensure adequate cost control.

2) Past Performance

The quality of the applicant's past performance on previous contracts with relevant projects will be assessed based on confirmation with the referenced contact persons provided, and in some degree, other resource persons. The principal factors to be assessed are the following:

- The overall quality of the product or service provided;
- Timeliness of performance;
- Cost control performance;
- End-user satisfaction with performance; and

- Performance of key personnel

USAID will review the applicant's performance on the relevant projects in the areas of quality, timeliness, cost control, business relations. USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement.

The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history, or in which information on past performance is not available, the recipient will not be evaluated favorably or unfavorably on past performance. The "neutral" rating provided to any recipient lacking relevant past performance history is at the agreement officer's discretion based on the past performance ratings for all other recipients. Prior to assigning a "neutral" past performance rating, the contracting officer may take into account a broad range of information related to a recipient's past performance.

3. Cost Evaluation

Cost applications will be evaluated separately and overall costs are considered less important than the strengths of the technical application. However, where technical applications are considered essentially equal, cost may be the determining factor in selecting a Recipient of the award. The applicant's proposed Cost and Business application will be evaluated for realism, completeness, allowability, allocability, cost-efficiency, and reasonableness. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

USAID/Philippines and the Pacific is not obliged to award a negotiated agreement on the basis of lowest proposed cost or to the Applicant with the highest technical evaluation score.

Supporting information should be provided in sufficient detail to allow a complete analysis of each line item cost. The applicant shall include a complete breakdown of the cost elements associated with each line item and those costs associated with any proposed subcontract/sub-awards (separate breakdown) as for each year of the contract.

A. Cost

The overall standard for judging cost applications will be whether:

- The cost presents the best value to the government for the technical approach proposed;
- It is realistic and consistent with the technical application; and
- Individual costs are considered reasonable based on an analysis to identify salaries and other cost categories considered to be excessive.

B. Acceptability of Proposed Non-Cost Terms and Conditions

An application is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments, and provides a complete and responsive application without taking exception to the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its application to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so.

USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the application closing date. USAID also reserves the right to cancel the RFA at any time (including after application closing date).

4. Selection Process

The overall evaluation methodology set forth above will be used by the Agreement Officer as a guide in determining the best value to the U.S. Government. This award will be made by the Agreement Officer to the responsible recipient whose application represents the best value to the U.S. Government after evaluation in accordance with the above technical and cost criterion under this RFA.

The cost application must be realistic, reasonable, allowable, allocable, and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities.

Once an apparent successful applicant is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer before the Agreement Officer makes the final award decision. Award may be made without discussions.

[END OF SECTION V]

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. Notification of Award

The selected Applicant will be notified by email following the selection. The award document will be sent for review and signature.

2. Authority to Obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Any reference to “agreement” or “award” refers to the cooperative agreement awarded under this RFA, in response to an application determined by USAID to be suitable for funding.

3. Reporting

The Recipient shall submit an original to the Washington AOTR, one copy to the Agreement Officer, and one electronic copy of the final report to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

Online (preferred)

http://www.dec.org/submit.cfm

Mailing address:

Document Acquisitions
USAID Development Experience Clearinghouse
M/CIO/KM
RRB M.01
U.S. Agency for International Development
Washington DC 20523
E-mail: docsubmit@usaid.gov
Fax: (202) 216-3515
Phone: (202) 712-0579

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. They may be submitted online (preferred); on 3.5 inch diskettes, CD-R, or by mail. Electronic documents should be in PDF (Portable Document Format). Submission in other formats is acceptable but discouraged.

Each document submitted should contain essential bibliographic elements, such as, 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) strategic objective; and 6) date of publication;

When preparing reports, the contractor shall refrain from using elaborate art work, multicolor printing and expensive paper/binding, unless it is specifically authorized in the Contract Schedule. Wherever possible, pages should be printed on both sides using single spaced type.

4. General Reports and Other Reporting Requirements

Under USAID's new Evaluation Policy, the primary responsibility for final evaluations that assess the overall performance and results from a project 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. The implementing partner may be requested by the mission to collect baseline data for this independent evaluation, if necessary.

Implementing partners remain responsible for ongoing monitoring and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether projects are being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. The implementing partner will develop a Monitoring and Evaluation (M&E) Plan within the first three months following cooperative agreement award and before major implementation actions are underway.

The M&E Plan will describe the agreed upon framework of goals, outcomes, and outputs for the project, along with indicators, baselines and targets defined for each, gender disaggregated where appropriate. The M&E Plan will also include a monitoring and evaluation plan that describes 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).

A. Work Plans

Life of Project Work Plan: On or about 60 days from the signing of the agreement, the recipient shall open review discussions on the illustrative Life of Project Work Plan (submitted during Application) with the AOR. These discussions will be based on consultations and inputs from USAID, partners and stakeholders. The final life-of-project Work Plan will be submitted for the determination of acceptance to the AOR within 90 days of the signing of the cooperative agreement.

Annual Work Plans: Within 30 days of signing of the cooperative agreement, the recipient shall submit a draft work plan that covers from the date of signing through the end of the fiscal year. The draft will be based on the life-of-project Work Plan but will be revised with comments made during negotiations and with consultations with the AOR after signing of the cooperative agreement, if any.

The scope and format of the annual work plan will be agreed to between the Recipient and the AOR during the first two weeks of award of the Agreement. Subsequent annual work plans shall be submitted no later than four weeks before of the following year of implementation. The AOR will respond to the recipient on the implementation plan within five (5) days from receipt.

The annual work plan will detail the work to be accomplished during the upcoming year and should include the Monitoring and Evaluation (M&E) Plan (see below) as well as the estimated monthly funding requirements for the implementation of the project necessary to meet all project objectives within the award. Any budgets attached to an annual work plan are informational only. They do not supersede the approved budgets included in the Agreement. Any changes to the budget require prior approval of the Agreement Officer in accordance with 22CFR226.25 (or relevant standard provision in the case of award to non-US organization).

With the written concurrence of the AOR, annual work plans may be revised on an occasional basis as needed, to reflect changes on the ground. Appropriate revisions must also be made to the M&E Plan.

As part of its initial work plan, and all annual work plans thereafter, the Recipient in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the Recipient plans any new activities 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 activities 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.

B. Monitoring and Evaluation (M&E) Plan

Within 90 days of signing of the cooperative agreement, the recipient shall finalize the M&E Plan (working from the draft M&E Plan submitted during application) with clearly outlined targets, benchmarks, and performance measurement indicators and demonstrate how the proposed indicators are linked to the USAID/Philippines and the Pacific Project Indicators. The plan shall identify specific indicators for measuring the following aspects of the recipient's performance:

- progress toward meeting project objectives and sub-objectives;
- time frame for achieving these objectives and sub-objectives; and
- Client satisfaction and overall project impact.

Both quantitative and qualitative indicators need to be developed and special attention paid to data sources, collection methods, and data quality assessment.

As part of the initial work under the agreement, the recipient will work closely with the USAID AOR to specify a method for determining target and control units and to develop mutually agreed upon cooperative agreement indicators. The recipient will finalize the M&E Plan within the first 90 days of the cooperative agreement by commissioning surveys and conducting evaluations and assessments that will establish the base-lines for the activities and sub-activities and their expected targets for subsequent years. Project monitoring and evaluation comprises an essential component of this cooperative agreement for the following reasons:

- inform USAID of progress;
- enable detailed and on-going design of activities and sub-activities;
- build counterparts' capacity to collect and analyze the data for sound decision-making; and
- provide public awareness/outreach campaigns to demonstrate that results are being achieved.

The M&E Plan process will involve the collection of baseline and outcome data in an appropriate number of control units. The M&E Plan will discuss the method used to select measurable units, i.e. schools, districts, including both the treatment and control groups according to criteria that make a rigorous comparison possible; it will include a plan for gathering baseline data in both groups as well as for gathering outcome data periodically and in the final year of project implementation.

The recipient in its monitoring and reporting on PREPARE will disaggregate by gender and geographical location the impact on the beneficiaries and provide analysis of gender data. For all the activities in the implementation of this project, if a single gender is disproportionately involved or benefited, the recipient must explain the reason and whether or not it is appropriate. If deemed inappropriate and the result of a structural cause, the recipient will inform USAID and suggest remedial interventions to improve the equity of implementation.

At a minimum, the M&E Plan shall include the following:

- Description of the Recipient's established system of Monitoring and Evaluation. The M&E Plan must validate the targets provided against the standard/custom indicators included in the Program Description. The established system refers to:

    - Organization-wide policies and procedures for monitoring and their relation to the award's M&E Plan.
    - Organizational staffing/expertise, roles, and responsibilities and how the staffing and expertise is to be used in the award's M&E Plan, including the roles of contractors and subgrantees.
    - Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
    - Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
    - Means of addressing a discovered lack of progress or success. Procedures will focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.

- Information about all activities to be monitored under the M&E Plan. The list of activities must be provided in a logical framework which:

    - Links activities to Agreement results—both those dictated by USAID in the program description and lower level or complementary results contained in the Recipient's approach.
    - Describes assumptions being made about the relationship of the activity to the Agreement result.
    - Identifies the indicators against which progress is to be measured. The M&E Plan must include all required standard/custom indicators provided in the program description.
    - Includes methods to be used for monitoring. Methods for monitoring vary according to what it is being monitored. Some activities can be observed easily and costs and outputs can be measured against the original targets and timetable. Other activities are less easy to monitor in terms of quantitative achievements, especially such intangible effects as awareness and empowerment and their direct link to project interventions. Indirect or proxy indicators may have to be identified, even if these cannot be verified. By considering these factors at the planning stage, expected results can be kept realistic and cost-effective and the Recipient can recognize that not all available and useful indicators are 'objectively verifiable.'
    - Provides an illustrative schedule for discrete monitoring activities tied to the overall project implementation plan.

- Gender Consideration:

    To the greatest extent possible, the Recipient will seek to include both men and women in all aspects of this project including participation and leadership in e.g., meetings, training, etc. The Recipient shall collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

    In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

    - The different roles and status of women and men affect the activities to be undertaken; and
    - The anticipated results of the work would affect women and men differently.

C. Closeout Plan

Within one hundred eighty (180) days of the project's estimated completion date, the Recipient will submit to the AOR for review, a draft closeout plan which incorporates (a) the property disposition plan; (b) the in-country operations phase out plan; (c) the delivery schedule for all reports or other deliverables required under the award, and; (d) a time line for completing all required closeout actions, including the submission date of the final property disposition plan, and; (e) includes draft turnover documents.

D. Quarterly Reports

Except when otherwise required, the recipient will submit quarterly progress reports to USAID/Philippines and the Pacific within 30 days of the beginning of the month following the quarter to which the report refers, with the exception of the last quarter when an Annual Report will be required, and final quarter, when a Final Report is required. The report should contain, at a minimum:

- Progress (activities completed, benchmarks achieved, performance standards completed) since the last report by country and project area. The M&E Plan should be attached;
- Problems encountered and whether they were solved or are still outstanding;
- Proposed solutions to new or ongoing problems;
- Success stories;
- Qualitative data on project achievements and results;
- Documentation of best practices that can be taken to scale; and
- List of upcoming events with dates.

The required performance information must be supplied in the following standardized format:

(i) Executive Summary – This section is a narrative summary of overall achievements against planned achievements and a brief description of any realized or potential performance challenges[6.] Achievements should be quantified against both principal and collateral agreement targets/indicators wherever possible, leaving detailed analysis for later sections.

(ii) Summary Table - The Executive Summary should be followed by a table which identifies all results and their corresponding targets/indicators. Overall agreement goals for each target and indicator shall be identified as well as planned and actual goals for the reporting period. In addition, costs incurred by result or group of results should be identified as well as planned and actual expenditures for the reporting period. This table is intended to serve as an at-a-glance data summary.

(iii) Correlation to M&E Plan - In this section, the recipient should describe how the performance being reported was monitored. This description should reference the M&E Plan methods used during the reporting period. If the M&E Plan was not strictly followed, the Recipient should provide a rationale for not using it. All requited standard/custom indicators provided in the program description MUST be included in M&E Plan and discussed in this section.

(iv) Result by Result Analysis – This section will provide detailed analysis of the results summarized above as well as additional narrative regarding the achievements and challenges.

(v) Financial Summary - This section is not a financial report: rather, it summarizes financial expenditure data in reference to achievements and project element funding. The most tangible

[6] Where performance challenges are caused by or related to management issues, the grantee shall include an additional reporting section on the matter, including the remedy taken or the proposed remedy to be taken.

statement in this section will be one regarding whether spending towards each result is "less than anticipated, on target with estimates, or more than anticipated." Reports which indicate that expenditures are less or more than anticipated will be supported with rationale detailing the probable cause(s). Reports which indicate that expenditures are more than anticipated must also include a plan for ensuring that the performance of the result will be met within the estimated Agreement budget for that result.

(vi) Success Stories - At least four one-page success stories on project activities shall be submitted to USAID/Philippines and the Pacific in the periodic performance report. Review USAID guidance on "success stories' available at http://www.usaid.gov/stories/.

Recipient in consultation with the AOR will develop a format of the quarterly reports, and upon approval of the AOR will submit reports on regular basis. These reports will describe the progress made in the quarter most recently ended with specific reference to the goals, outcomes and results, and specific activities included in the work plan and as specified in this program description.

E. Annual Reports

The Recipient shall prepare annual reports to summarize project progress relative to expected results and outcomes as outlined in work plans and against cooperative agreement deliverables. Annual reports will have two components: (a) A concise report rolling up quarterly reports with a short summary for public audiences (such as government & local communities); and (b) accounting of progress against metrics for inputs, process, outputs and results per the M&E Plan, and other information in standard formats required for USAID Annual Performance reporting. Part (b) will consist of: (i) a list of deliverables, reports and publications submitted during the year (by date/status), (ii) lessons learned; (iii) suggested steps to improve activity performance and impact; and, (iv) concise narratives or a table to reflect any additional cooperative agreement. The annual report will serve as a basis for project evaluation, audit and management decision-making for budgetary considerations. It is essential that the annual report is complete, accurate and timely. Annual reports are to be submitted to the AOR by October 30 each year. Depending on the award date, the first Annual Report may not cover twelve months of activity.

F. Final report

The Recipient shall submit, within ninety days following the termination of this cooperative agreement, a detailed final report, which includes a financial report detailing how funds were expended, by line item; a summary of the accomplishments and shortcomings of its performance under the cooperative agreement, referenced to the results required under this program description; a status report on all institutions with which Recipient worked to a significant degree; a complete list of all host country and international donor and financial institution contacts; a description of all institutions created and their expected future activities; methods of work used; budget and disbursement activity; and, recommendations regarding unfinished work and/or project continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement.

The report shall:

- Contain an overall description of the activities under the Program during the period of this Cooperative Agreement, and the significance of these activities;
- Describe the methods of assistance used and the pros and cons of these methods;
- Present life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on the accomplishment of the project's overall objectives;

- Summarize the project's accomplishments, as well as any unmet targets and the reasons for them including leveraging; and
- Discuss the issues and problems that emerged during project implementation and the lessons learned in dealing with them.

One copy of the Final Report will be submitted to the Bureau for Program Policy Coordination/Center for Development Information and Evaluation (PPC/CDIE) at the following address:

Development Experience Clearinghouse (DEC)
8403 Colesville Road, Suite 210
Silver Spring, MD 20910
E-mail: docsubmit@dec.cdie.org
Fax : (301) 558-7787
URL : http://www.dec.org/index.cfm?fuseaction=docsubmit.home

Standard Information for Reports: The title page of all reports to be submitted to USAID must include a descriptive title, the author's name, award number, the project title, the Recipient's name, the name of the USAID office, and the publication or issuance date of the report.

G. Outreach Reports

Community outreach is an important component of this project. Throughout project implementation, the recipient will provide to USAID:

1) Updated monthly list of public events to be organized by the project during the coming two months, including approximate date, location, and audience. The recipient will coordinate with USAID about inclusion of USAID promotional materials for the participants, participation of USAID/USG representatives.
2) At least three success stories a year with an accompanying photographs (see item 3 below for specifications).
3) A CD with a collection of minimum 60 photographs a year that are illustrative of project's achievements in jpeg format. The photographs will comply with a guidance provided in the USAID Graphic Standards Manual, and be at least 500kb in size each. Each photograph will have a brief explanation about its subject, and identify: the author and his/her organization, person(s) featured in the photograph, and the location where the photograph was taken.
4) Clippings of press articles that mention the project.
5) At least 2 copies of all public communications materials produced by the project.
6) Once a year, the project will present to USAID an overview of the implemented publicity events and received media coverage.

H. Financial Report

The recipient shall account for expenditures for activities carried out under this project to ensure funds are used for their intended purposes. Financial reports shall be in accordance with 22 CFR 226.52. The Recipient shall submit to the USAID AOR, a quarterly financial report using the SF-425 line item budgets, expenditures and accruals and a budget pipeline (balance remaining). A table with expenditures and accruals shall be submitted to the AOR no less than 15 days before the end of each (USAID) fiscal year quarter throughout the life of the project.

1) For Organizations with a Letter of Credit (LOC):

(a) Quarterly Report: The recipient must submit an SF 425, the Federal Financial Report, via electronic format to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov) within 45 days following the end of each quarter. A copy of this form shall be simultaneously submitted to the Agreement Officer's Representative (AOR) and the USAID/Philippines and the Pacific Controller (aidmnlrfsc@usaid.gov).

(b) Final Report: The recipient must submit within 90 days following the estimated completion date of this award and, in accordance with 22 CFR 226.70 – 72, the original and three (3) copies of the final Federal Financial Reports (SF-425) to: (a) USAID/Washington, M/CFO/CMP-LOC Unit ; (b) the Agreement Officer (aidmnlorp@usaid.gov); (c) the Agreement Officer's Representative (AOR), and (d) the USAID/Philippines and the Pacific Controller (aidmnlrfsc@usaid.gov). The electronic version of the final SF 425 must be submitted to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov) in accordance with paragraph A.5.1.a(1) above.

2) For Organizations without a Letter of Credit (LOC):

(a) Quarterly Report: The Recipient must submit an SF 425, the Federal Financial Report, via electronic submission, within 45 days following the end of each quarter to the Agreement Officer's Representative (AOR) and the USAID/Philippines and the Pacific Controller (aidmnlrfsc@usaid.gov). The Recipient shall include, as an attachment to the SF-425, expenditures by budget line item per quarterly performance reporting requirements.

(b) Final Report: The Recipient must submit within 90 days following the estimated completion date of this award and, in accordance with 22 CFR 226.70, the original and two copies of all final Federal Financial Reports (SF-425) to: (a) the Agreement Officer (aidmnlorp@usaid.gov); (b) the Agreement Officer's Representative (AOR), and (c) the USAID/Philippines and the Pacific Controller (aidmnlrfsc@usaid.gov).

Electronic copies of the SF-425 can be found at http://www.whitehouse.gov/omb/grants/standardforms/ffreport.pdf and http://www.forms.gov/bgfPortal/docDetails.do?dId=15149.

Line item instructions for completing the SF-425 can be found at:
http://www.whitehouse.gov/omb/grants/standardforms/ffrinstructions.pdf

I. Foreign Tax Reports

Standard report will be issued for each Fiscal Year and delivered prior to November 17 each year.

J. Branding Strategy and marking Plan

1) Branding Strategy

Within forty-five (45) days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, its Branding Strategy for final approval. The Branding Strategy shall describe how the project is to be named and positioned, how it will be promoted and communicated to beneficiaries and cooperating country citizens, and shall identify all donors, if any, and how they will be acknowledged. (See http://www.usaid.gov/policy/ads/300/320.pdf)

2) Marking Plan

Within forty-five (45) days after the effective date of this award, the Recipient will submit to the Agreement Officer, through the AOR, it's Marking Plan for final approval. The plan will describe how the USAID Identity will be used in the project. Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer is sufficient reason to terminate the award.

K. Other Reports

Occasionally, USAID/Philippines and the Pacific receives requests for information from other USAID offices, or other USG agencies. The implementing partner is expected to be responsive to these requests to the greatest extent possible.

L. Special Reports and Memorandums

The Recipient shall prepare special reports in the event of extraordinary, time-sensitive events that need to be brought to the AOR's attention sooner than every quarter. Special reports may be requested from the Recipient by the AOR or may be produced by the Recipient exercising his/her own discretion and judgment. The Recipient shall prepare memorandums analyzing draft legislation and regulations and speeches and scene-setter briefing papers for USAID. The Recipient shall also report success stories on an on-going basis as they happen.

5. A description of any deviations from standard provisions

There are currently no deviations from the standard provisions.

6. Administrative and National Policy Requirements

Any cooperative agreement resulting from this RFA will be administered in accordance with 22 CFR 226—Administration of Assistance Awards to U.S. Non-Governmental Organizations, applicable OMB circulars, and the Standard Provisions for U.S. Nongovernmental Recipients. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. For Public International Organizations (PIOs), the Standard Provision for Cost-Type Awards to Public International Organizations (PIOs) will apply. The applicant may obtain copies of the referenced material at the following websites:

22 CFR 226:
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

OMB circulars:
http://www.whitehouse.gov/omb/circulars/

Mandatory Standard Provisions for U.S. Nongovernmental Recipients:
http://www.usaid.gov/policy/ads/300/303maa.pdf

Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients:
http://www.usaid.gov/policy/ads/300/303mab.pdf

Standard Provisions for Cost-Type Awards to Public International Organizations (PIOs)
(http://inside.usaid.gov/ADS/300/308mab.pdf)

The Applicable Standard Provisions are also found in the aforementioned websites; some applicable Standard Provisions are provided in full text below as well as other pertinent provisions:

A. Implementation of E.O. 13224 -- Executive Order on Terrorist Financing (March 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement.

B. USAID Disability Policy - Assistance (December 2004)

The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: **http://pdf.dec.org/pdf_docs/PDABQ631.pdf**

USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

C. Central Contractor Registration and Universal Identifier (OCTOBER 2010)

1) **Requirement for Central Contractor Registration (CCR).** Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

2) **Requirement for Data Universal Numbering System (DUNS) numbers.** If you are authorized to make subawards under this award, you:

   a. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

   b. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

3) **Definitions.** For purposes of this award term:

   a. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at https://www.sam.gov).

b. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. It can be obtained from D&B at www.dnb.com. Note that applicants may submit applications under this RFA without DUNS. However, the selected applicant is required to provide the DUNS number prior to receipt of an award.

c. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) A Governmental organization, which is a State, local government, or Indian tribe;
(ii) A foreign public entity;
(iii) A domestic or foreign nonprofit organization;
(iv) A domestic or foreign for-profit organization; and
(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

d. Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, ―Audits of States, Local Governments, and Non-Profit Organizations‖).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

e. Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[End of Provision]

D. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

1) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

a. Shall not be required, as a condition of receiving such assistance—
(i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
(ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

b. Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

2) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled ―Notices‖ as soon as possible, and in any event not later than 15 days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

3) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror's application will be evaluated based on the activities for which an application is submitted, and will not be evaluated favorably or unfavorably due to the absence of an application addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

(End of Provision)

E. Conscience Clause Implementation (Assistance) (February 2012)

An organization, including a faith-based organization that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

1) Shall not be required, as a condition of receiving such assistance

a. To endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
b. To endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a) above.

(End of Provision)

F. Condoms (Assistance) (June 2005)

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, ―USAID HIV/STI Prevention and Condoms. This fact sheet may be accessed at:
http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html.

(End of Provision)

G. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (April 2010)

1) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds

made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

2)a. Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a non-governmental organization or public international organization awardee/recipient/sub-awardee/sub-recipient agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

b. The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

c. Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

d. Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

(i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;
(ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
(iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

3) The following definitions apply for purposes of this provision:
Commercial sex act - means any sex act on account of which anything of value is given to or received by any person.

Prostitution - means procuring or providing any commercial sex act and the practice of prostitution has the same meaning.

Sex trafficking - means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

4) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

5) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

(End of Provision)

5. Sample Cooperative Agreement Schedule

A. Purpose of Award

The purpose of this Cooperative Agreement is to provide support for the project described in this Cooperative Agreement's "Program Description."

B. Period of Award and Obligation

1) The effective date of this Cooperative Agreement is TBD. The estimated completion date of this Cooperative Agreement is TBD.

2) Funds obligated hereunder are available for project expenditures for the estimated period ending TBD.

C. Amount of Award and Payment

1) The total estimated amount of this Cooperative Agreement for the period shown in A.2.1 above is TBD.

2) USAID hereby obligates the amount of $TBD for project expenditures during the period set forth in A.2.2 above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.

3) Payment will be made to the Recipient by Letter of Credit in accordance with procedures set forth in 22 CFR 226 (NOTE: Letter of Credit is the "preferred payment method". However the Agreement Officer will select the appropriate method of payment in accordance with the applicability requirements set forth in 22CFR 226; i.e., letter of credit, advance payment or reimbursement.)

4) The payment office for this award is:

a. For Letter of Credit:	Agency for International Development M/CFO/CMP/GIB-LOC Unit SA-44 1300 Pennsylvania Avenue, NW Washington, DC 20523-7700 U.S.A.
b. For Other than Letter of Credit:	Regional Financial Services Center USAID/Philippines and the Pacific 8/F PNB Financial Center Pres. Diosdado Macapagal Boulevard Pasay City, 1308, Philippines.

D. Award Budget (to be filled in at time of award)

The following is the Award Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with 22 CFR 226 *(or relevant standard provision if award is to a non-US organization).*

Budget Line Items	**Yr. 1**	**Yr. 2**	**Yr. 3**	**Yr. 4**	**Yr. 5**	**Total**
Project Activities	______	______	______	______	______	______
Pre-positioning of Commodities	______	______	______	______	______	______
Emergency Response Funding	______	______	______	______	______	______
Recovery and Reconstruction Funding	______	______	______	______	______	______
Indirect Costs	______	______	______	______	______	______
Total USAID Amount	______	______	______	______	______	______

E. Reporting and Evaluation

1) Reporting

The following is the reporting matrix for the award:

Type of Submission	Due Date	Distribution
Annual Workplan	Initial workplan within 45 days after award. Annually thereafter, 30 days prior to start of subsequent year of implementation	AOR
Financial Status Report a) Quarterly Status Report b) Final Report	 Within 30 days after the end of the quarter being reported Within 90 days after end of project	 DHHS (if applicable); AOR; Controller DHHS and M/CFO/CM-LOC Unit (if applicable); AO; AOR; Controller
Performance Report a) Annual Report b) Quarterly Report c) Outreach Reports d) Final/Completion Report	 Within 30 days after the end of the year being reported Within 30 days after the end of the quarter being reported Within 90 days after end of project	 AOR AOR AOR AOR; AO; DEC/CDIE
Monitoring and Evaluation Plan	Final M&E Plan within 90 days after award	AOR
Close-Out Plan	Within 180 days before end of project	AOR; AO
Branding Strategy	Final Branding Strategy within 45 days after award	AOR; AO
Marking Plan	Final Branding Strategy within 45 days after award	AOR; AO

3) Evaluation

The recipient is responsible for ongoing monitoring and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether the project is being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. If appropriate, the PREPARE project will be evaluated externally by a third party evaluation contractor to be commissioned by USAID towards the end of the period of performance.

F. Indirect Cost Rate (if applicable)

Pending establishment of revised provisional or final indirect cost rates, allowable indirect costs shall be reimbursed on the basis of the following negotiated provisional or predetermined rates and the appropriate bases:

Description	Rate	Base	Type	Period
TBD	TBD	1/	1/	1/
TBD	TBD	2/	2/	2/

1/Base of Application:
Type of Rate:
Period:
Source:

2/Base of Application:
Type of Rate:
Period:
Source:

[To be determined]

Note: The Recipient is allowed to recover applicable indirect costs (i.e., overhead, G&A, etc.) on other direct costs (ODCs), if it is part of the Recipient's usual accounting procedures and Negotiated Indirect Cost Rate Agreement (NICRA).

G. Title to Property

Title to property acquired by the Recipient during life of project using award funds will be determined at the time of award.

H Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this award is 937 – the United States, the recipient country, and developing countries other than advanced developing countries, excluding any country that is a prohibited source.

I. Cost Share

There is no cost share required of the Recipient under this award.

J. Substantial Involvement

USAID will be substantially involved in the implementation of the project in the following manner:

1) Key Personnel. The Agreement Officer will provide prior written approval of the Key Personnel positions listed below which are essential to the successful implementation of the project:

   (*The Applicant will provide the list of Key Personnel positions, their minimum qualifications, and proposed candidates' names.)*

2) Annual Implementation Plan. The AOR will provide written approval of the recipient's Annual Implementation Plan. At the time of award, if the Program Description does not establish a timeline for the planned achievement of first year milestones or outputs in sufficient detail, the AOR may approve the plan at a later date. USAID will not require approval of these plans more often than annually.

3) Joint Collaboration:

   a. The AOR will provide concurrence for any sub-award over $50,000 if the sub-awardee/sub-recipient was not mentioned by name in the recipient's technical application and included in the cost application. The AOR reserves any further approval rights for sub-awards and may provide input for sub-awards to local organizations.
   b. The AOR will provide approval of the recipient's Monitoring and Evaluation Plan.
   c. The AOR will provide protocol guidance to the recipient for communicating with high level Host Government officials (e.g. advance notification of all substantive meeting with high-level officials in order to provide opportunity to participate).
   d. The AOR will provide guidance to the recipient in setting project direction with Host Government counterparts for implementation.
   e. The AOR will lead the discussion/resolution of specific implementation issues with the Host Governments.

K. Special Provisions

1) 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) Parts 201.5.10g and 204 (http://www.usaid.gov/policy/ads/200/), 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this 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 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 Request for Categorical Exclusion (RCE), Initial Environmental Examination

(IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

d. An Initial Environmental Examination (IEE) [#Asia12-231 dated 10-26-2012] has been approved for the PREPARE Project funding this RFA. The IEE covers activities expected to be implemented under a Cooperative Agreement. The activities are entirely within one of the categories listed in Paragraph (c)(1), "Categorical Exclusions" of Section 216.2, "Applicability of Procedures", of Title 22CFR Part 216, "AID Environmental Procedures", it has been determined that the activity is fully within the class of Categorical Exclusions, specificatlly, "Education, technical assistance, or training programs: [22CFR 216.2(c)(i)]."

e. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID AOR and the Mission Environmental Officer (MEO) or BEO, as appropriate, will review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the recipient plans any new activities 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 activities 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 (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an Environmental Assessment (EA), the recipient shall:

   (1) Unless the approved Regulation 216 environmental documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project 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 the proposed project activity 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 Work Plan.

   (3) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

2) Activation of budgets for Pre-positioning of Commodities and Emergency Response Funding will be upon directive from the Agreement Officer triggered by the notification of fund obligation from OFDA or otherwise by the U.S. Embassy.

3) Activation of budgets for Recovery and Reconstruction Funding will be upon directive from the Agreement Officer triggered by the notification of fund obligation from FEMA.

L. Agreement Officer's Representative (AOR)

The Agreement Officer's Representative (AOR) is authorized to perform all of the routine monitoring and administrative responsibilities associated with this award except those which involve changes in the period, purpose, funding, or terms and conditions of this award. In the event of any question concerning the authority of the AOR to take any specific action, it is the responsibility of the recipient to bring the issue to the attention of the Agreement Officer. The AO will designate the AOR for this award by a separate letter.

M. Additional Provisions

1) Press Relations

The Recipient will coordinate all press inquiries and statements with the AOR. The Recipient shall seek approval from the AOR before agreeing to an interview or allowing staff to be interviewed by the press. The recipient will not speak on behalf of USAID and will refer all requests for USAID information to the AOR.

2) Central Contractor Registration and Universal Identifier (Oct 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at https://www.sam.gov).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) A Governmental organization, which is a State, local government, or Indian tribe;
(ii) A foreign public entity;
(iii) A domestic or foreign nonprofit organization;
(iv) A domestic or foreign for-profit organization; and
(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, ¨Audits of States, Local Governments, and Non-Profit Organizations”.

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

3) Reporting on Taxation of U.S. Foreign Assistance

(a) Reporting of Foreign Taxes. The Recipient must annually submit a final report by December 19 of the next fiscal year.

(b) Contents of Report. The reports must contain:

(i) Recipient name.

(ii) Contact name with phone, fax and e-mail.

(iii) Agreement number(s).

(iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at $500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.

(v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).

(vi) Any reimbursements received by the Recipient during the period in (iv) regardless of when the foreign tax was assessed plus, for the interim report, any reimbursements on the taxes reported in (iv) received by the Recipient through October 31 and for the final report, any reimbursements on the taxes reported in (iv) received through March 31.

(vii) The final report is an updated cumulative report of the interim report.

(viii) Reports are required even if the Recipient did not pay any taxes during the report period.

(ix) Cumulative reports may be provided if the Recipient is implementing more than one program in a foreign country.

(c) Definitions. For purposes of this clause:

(i) “Agreement” includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.

(ii) “Commodity” means any material, article, supply, goods, or equipment.

(iii) “Foreign government” includes any foreign governmental entity.

(iv) “Foreign taxes” means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

(d) Where. Submit the reports to: USAID/ Philippine’s Regional Financial Service Center.

(e) Subagreements. The Recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.

4) Nondiscrimination (June 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran's status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

N. Applicable Regulations and References

Standard Provisions will be provided in full text, as applicable, in the resultant agreement.

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients http://www.usaid.gov/pubs/ads/300/303maa.pdf
- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients http://www.usaid.gov/policy/ads/300/303mab.pdf
- **22 CFR 226** USAID Assistance Regulations http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- **22 CFR 228 "**Procurement of Commodities and Services Financed by USAID Federal Program Funds." http://www.gpo.gov/fdsys/search/pagedetails.action?browsePath=2012%2F01%2F01-10%5C%2F3%2FAgency+for+International+Development&granuleId=2011-33240&packageId=FR-2012-01-10&fromBrowse=true
- **ADS Series 303 Acquisition and Assistance http://www.usaid.gov/policy/ads/300/303.pdf**
- Standard Provisions for Cost-Type Awards to Public International Organizations (PIOs) (http://inside.usaid.gov/ADS/300/308mab.pdf)

-End of Schedule-

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

The applicant may contact the following USAID personnel with all questions regarding the PREPARE RFA in writing:

By Mail
Andrew Holland, CPCM
Supervisory Agreement Officer
U.S. Agency for International Development
Attn: Franco Calixto
Acquisition & Assistance Specialist, ROAA
8/F, PNB Financial Center
Pres. Diosdado Macapagal Boulevard
1308 Pasay City, Philippines

Email ATTN:
Mr. Franco Calixto at ManilaPrepare@usaid.gov and orpmailbox@usaid.gov

[END SECTION VII]

SECTION VIII – OTHER INFORMATION

1. USAID Rights and Funding

The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.

2. Title to Property

Title to property will vest with the recipient, subject to the conditions in 22 CFR 226.34.

3. Authorized Geographic Code

The authorized geographic code for procurement of goods and services for the anticipated award is 937.

4. Project Income

The Recipient shall account for Project Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Project Income for non-U.S. organizations). Project Income earned under this award shall be added to the project.

5. Other Provisions and Requirements

A. Environmental Provisions

1) Statutory and Regulatory Requirements

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) Parts 201.5.10g and 204 (*http://www.usaid.gov/policy/ADS/200/*), 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this cooperative agreement.

b. In addition, 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 Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

2) An Initial Environmental Examination (IEE) was approved on October 26, 2012, for the Program Resources and Management, USAID Philippines and Pacific, funding this cooperative agreement. The IEE covers activities expected to be implemented under this cooperative agreement. USAID

has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award, including all sub-awards.

The following conditions apply:

- All implementing partners and participating volunteers will be provided with and will familiarize themselves with any existing Initial Environmental Examinations (IEEs) or Environmental Assessments (EAs) and associated conditions (mitigating measures) covering USAID projects they will be supporting during their volunteer activity.

- The implementing NGO will be required to ensure that the volunteers are briefed on environmental requirements prior to beginning their volunteer activity.

- If during implementation, activities are considered other than those described in this IEE, an amended IEE shall be submitted for approval prior to implementation of any additional activities. If so indicated by the amended IEE, additional environmental review and documentation may be required prior to implementation of the new activities.

3) Project Activities

a. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

b. If the recipient plans any new activities 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 activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

c. 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.

4) Mitigation and Monitoring Plan

a. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project 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 project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

b. Integrate a completed EMMP or M&M Plan into the initial work plan.

c. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

B. Non-Federal Audits

In accordance with 22 C.F.R. Part 226.26 Recipients and sub-recipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, "Audits of States, Local Governments, and Non-Profit Organizations." Recipients and sub-recipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

C. Foreign Government Delegations to International Conferences (Apr 2011)

Funds provided under the award 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, unless approved by the Agreement Officer.

D. Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
  http://www.usaid.gov/pubs/ads/300/303maa.pdf

- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf

- 22 CFR 226
  http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

- OMB Circular A-122
  http://www.whitehouse.gov/omb/circulars/a122/a122.html

- OMB Circular A-110
  http://www.whitehouse.gov/omb/circulars/a110/a110.html

- ADS Series 300 Acquisition and Assistance
  http://www.usaid.gov/pubs/ads/

- Governing Regulations, Standard Provisions and Required Certifications to be Submitted
  www.usaid.gov/policy/ads/300/303.pdf

- Standard Provisions for Cost-Type Awards to Public International Organizations (PIOs)
  (http://inside.usaid.gov/ADS/300/308mab.pdf)

- SF-424 Downloads and SF-425 Downloads
  http://apply07.grants.gov/apply/FormLinks?family=15
  http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf and
  http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf

[END SECTION VIII]

ANNEXES

Annex A-1	SF-424, Application for Federal Assistance (Form)
Annex A-2	SF-424 A, Budget Information – Non-construction Programs (Form)
Annex A-3	SF-424 B, Assurances – Non-construction Programs (Form)
Annex B	Certifications, Assurances, and Other Statements of the Recipient
Annex C	Illustrative Outline of the Emergency Response Contingency Plan
Annex D	Illustrative Outline of the Reconstruction Contingency Plan
Annex E	Illustrative Outline of EIA and EMP Manuals
Annex F	List of Emergency Relief Commodities
Annex G	Gender Analysis

ANNEX A

SF-424 Standard Forms

Annex A-1: SF-424, Application for Federal Assistance

OMB Number: 4040-0004
Expiration Date: 03/31/2012

Application for Federal Assistance SF-424

* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
☐ Preapplication	☐ New	
☐ Application	☐ Continuation	* Other (Specify):
☐ Changed/Corrected Application	☐ Revision	

* 3. Date Received: Completed by Grants.gov upon submission.
4. Applicant Identifier:

5a. Federal Entity Identifier:
* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:
7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:
* b. Employer/Taxpayer Identification Number (EIN/TIN):
* c. Organizational DUNS:

d. Address:

* Street1:
Street2:
* City:
County/Parish:
* State:
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code:

e. Organizational Unit:

Department Name:
Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:
* First Name:
Middle Name:
* Last Name:
Suffix:

Title:

Organizational Affiliation:

* Telephone Number:
Fax Number:

* Email:

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment | Delete Attachment | View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant [ ] * b. Program/Project [ ]

Attach an additional list of Program/Project Congressional Districts if needed.

[ ] Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: [ ] * b. End Date: [ ]

18. Estimated Funding ($):

* a. Federal [ ]
* b. Applicant [ ]
* c. State [ ]
* d. Local [ ]
* e. Other [ ]
* f. Program Income [ ]
* g. TOTAL [ ]

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- [ ] a. This application was made available to the State under the Executive Order 12372 Process for review on [ ].
- [ ] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- [ ] c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

[ ] Yes [ ] No

If "Yes", provide explanation and attach

[ ] Add Attachment | Delete Attachment | View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

[ ] ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: [ ] * First Name: [ ]

Middle Name: [ ]

* Last Name: [ ]

Suffix: [ ]

* Title: [ ]

* Telephone Number: [ ] Fax Number: [ ]

* Email: [ ]

* Signature of Authorized Representative: Completed by Grants.gov upon submission. * Date Signed: Completed by Grants.gov upon submission.

Annex A-2: SF-424 A, Budget Information – Non-construction Programs

OMB Number: 4040-0006
Expiration Date: 06/30/2014

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. Totals		$	$	$	$	$

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SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY (1)	(2)	(3)	(4)	Total (5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					$
j. Indirect Charges					$
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

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SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	$	$	$	$

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal	$				
15. TOTAL (sum of lines 13 and 14)	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Annex A-3: SF-424 B, Assurances – Non-construction Programs

OMB Number: 4040-0007
Expiration Date: 06/30/2014

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C.§§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	* TITLE
Completed on submission to Grants.gov	
* APPLICANT ORGANIZATION	* DATE SUBMITTED
	Completed on submission to Grants.gov

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ANNEX B

Certifications, Assurances, and Other Statements of the Recipient

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

> (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
>
> (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
>
> (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
>
> (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
>
> (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations. 06/23/2011 Partial Revision

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.”

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

a. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

b. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

1. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

2. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: **http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm**.

3. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

4. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

c. For purposes of this Certification-

1. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe-houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

2. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: **http://untreaty.un.org/English/Terrorism.asp**); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

3. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

4. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

5. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs; (2) the Certification Regarding Lobbying; (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. ________________________________

Application No. ______________________________

Date of Application ______________________________

Name of Recipient _______________________________

Typed Name and Title __________________________________

Signature _____________________________________

Date _______________

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: ____________________________

Date: ____________________________

Name: ____________________________

Title/Position: ____________________________

Organization: ____________________________

Address: ____________________________
____

Date of Birth: ____________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:

   a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

   b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

   c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: ___________________________________

Name: ___________________________________

Date: ___________________________________

Address: ___________________________________
____

Date of Birth: ___________________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Survey on Ensuring Equal Opportunity for Applicants

Applicability: All RFA's must include the enclosed Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

Survey on Ensuring Equal Opportunity for Applicants

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: ______________________________

Applicant's DUNS Number: ______________________________

Grant Name: ______________________________ **CFDA Number:** ____________

1. Does the applicant have 501(c)(3) status?

   ☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

   ☐ 3 or Fewer ☐ 15-50
   ☐ 4-5 ☐ 51-100
   ☐ 6-14 ☐ over 100

3. What is the size of the applicant's annual budget? *(Check only one box.)*

   ☐ Less Than $150,000
   ☐ $150,000 - $299,999
   ☐ $300,000 - $499,999
   ☐ $500,000 - $999,999
   ☐ $1,000,000 - $4,999,999
   ☐ $5,000,000 or more

4. Is the applicant a faith-based/religious organization?

   ☐ Yes ☐ No

5. Is the applicant a non-religious community-based organization?

   ☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

   ☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

   ☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

   ☐ Yes ☐ No

Part V – Other Statements of Recipient

1. Authorized Individuals

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:
Name Title Telephone No. Facsimile No.

____
____
____

2. Taxpayer Identification Number (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _______________________________

***3. Data Universal Numbering System (DUNS) Number**

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.

*(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _______________________________________

4. Letter of Credit (LOC) Number

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: ____

5. Procurement Information

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub grant or sub agreement) to a sub grantee or sub recipient in support of the sub grantee's or sub recipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

$___________________________

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/DESCRIPTION (Generic) _____________________________

QUANTITY _____________________________

ESTIMATED UNIT COST _____________________________

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED GOODS ______________________________

PROBABLE GOODS ______________________________

PROBABLE (Generic) ______________________________

UNIT COST ______________________________

COMPONENTS ______________________________

SOURCE ______________________________

COMPONENTS ______________________________

ORIGIN ______________________________

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION _______________________________

QUANTITY _______________________________

ESTIMATED _______________________________

PROBABLE _______________________________

INTENDED USE (Generic) _______________________________

UNIT COST _______________________________

SOURCE _______________________________

ORIGIN _______________________________

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED ______________________________

PROBABLE SUPPLIER ______________________________

NATIONALITY ______________________________

RATIONALE (Generic) ______________________________

UNIT COST (Non-US Only) ______________________________

FOR NON-US ______________________________

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of $5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share $500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) ______________________________

QUANTITY ______________________________

ESTIMATED UNIT COST ______________________________

PROPOSED DISPOSITION ______________________________

6. Past Performance References

On a continuation page, please provide past performance information requested in the RFA.

7. Type of Organization

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or local governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of ______________________________ (country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

8. Estimated Costs of Communications Products

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

ANNEX C

Illustrative Outline of the Emergency Response Contingency Plan

Emergency Response Contingency Plan (ERCP) should be able to respond to all the responsibilities of USAID as stated in the OBP. The ERCP will be prepared for all the five targeted locations of the PREPARE Project. The illustrative outline of the contingency plan is below:

I. Baseline Data on Vulnerable Populations

- Updated baseline data on the vulnerable areas and populations disaggregated by gender, age, ethnicity, and other relevant variables that are likely to be affected.
- Updated baseline data on the key public infrastructure, resources and capacity levels of the government, NGOs and private entities including NGOs and faith-based organizations that could assist in the delivery of emergency relief.

II. Crisis Scenario

- Describe the likely crisis scenario that will warrant the US Presidentially-declared disaster

III. Relief Distribution

- Description of the relief commodities from USAID warehouse that can easily be dispatched, including how the human, transport and logistics and other support services will be mobilized to support the relief distribution arrangement (d).
- Relief distribution arrangement or a description of all stand-by arrangements with government, NGOs, private entities including faith-based organizations to assist USAID in the rapid and orderly distribution of relief commodities. This arrangement includes the complete progression from receipt/loading from USAID warehouses to rapid transportation and distribution or distribution of commodities.

IV. Roles and Responsibilities

- Clear articulation of the responsibilities of USAID, host government(s), and partners in distributing USAID relief commodities.

V. Stand-by Arrangements

- Describe all stand-by arrangements that will allow the mobilization of experienced, qualified trauma specialists in the affected areas.
- Describe all stand-by arrangements that will allow multiple medical evacuations in the affected areas.
- Describe all stand-by arrangements with private hospitals in Guam, Hawaii and other accessible areas in providing medical services to persons that have affected by disasters, as this relates to (h) above.
- Describe all stand-by arrangements that will allow the rapid dispatch of trained emergency or humanitarian workers to assist USAID in implementing the (i) relief distribution arrangements; (ii) logistics and management; (iii) documentation, safeguarding and recovery of reverse osmosis units and generators; (iv) installing, maintaining repairing, updating and expanding of rainwater catchment systems; (v) implementing the following emergency assistance: temporary shelter and

mass shelter provision; emergency landslide stabilization; taro patch contamination assessment; food and agriculture including distribution of food, taro seedlings, pumpkin and vegetable seeds, FEMA-developed food basket, USDA commodities and agricultural tools.

- Describe all stand-by arrangements that will allow the rapid dispatch of trained specialists in the areas of (i) post-disaster needs assessments (PDA) appraising the impacts on human life, infrastructure and environment; (ii) food and agriculture; (iii) engineers; (iv) housing and building inspectors especially those that already participated in previous inspection exercises managed by FEMA, USAID and other development agencies in FSM, RMI and other countries in the Pacific Region ; (v) vehicle damage inspectors; and (vi) environmental impact assessments.
- Explain the process, standards, assessment forms/tools that will be used and how personnel will be mobilized for conducting the PDA. This will include a description on how the information gathered in the PDA will be collated and analyzed that will lead to the preparation of USAID's Response and Reconstruction Plan (RRP).
- List all key contacts from USAID, Implementing Partners (government, NGOs, private entities including faith-based organizations) and USG agencies that will and can be tapped in delivering humanitarian assistance to the affected areas or can participate in the conduct of PDA or preparation of the RRP.

ANNEX D

Illustrative Outline of the Reconstruction Contingency Plan

RCP's will be developed for all the target locations which will address each of the three main categories of reconstruction as described in the OBP: 1) repair and reconstruction of large infrastructure (including buildings, roads, and utilities), 2) replacement of destroyed houses and small infrastructure, and 3) distribution of start-up grants.

1. **Large public infrastructure projects (estimated costs greater than $15,000)** for the repair and reconstruction of buildings, utilities, roads, communication equipment, etc. USAID and its partner will explore a range of possibilities from directly contracting for infrastructure repair/reconstruction to supporting the indigenous host country implementation units (Project Management Units, or PMUs) of each country to carry out the planning, tendering, contract award and management of the project to repair or reconstruct the public infrastructure asset. These PMU offices are staffed by engineers and are currently managing the infrastructure budgets provided by the Department of Interior and are subject to similar requirements and restrictions to which USAID and FEMA would be held. In the implementation of PREPARE, the role of USAID's partner under PREPARE will be to facilitate and socialize the structure of the agreements between USAID and the PMU's, maintaining an understanding of the agreement among all parties so that when a large infrastructure asset is damaged under a U.S. Presidentially declared disaster, the construction process will proceed smoothly and much of the planning will already be done. During the reconstruction phase, the Implementation Partner may, at the direction of USAID, be required to provide a qualified monitor for on-site observation and/or inspection of the ongoing project, confirming construction progress and quality on behalf of USAID/P. The cost of this added staff would be in addition to the base budget for PREPARE.

2. R**econstruction of houses and small infrastructure destroyed by disaster**. As described in the OBP, these plans will include clear processes for identifying and inspecting damaged houses, determining what level of award is warranted, implementing mass procurement and direct importation of high quality construction materials, contracting for or partnering with local contractors or NGO's to rebuild homes or repair/rebuild small public infrastructure assets (less than $15,000). This section of the RCP's will be developed with information gained from consultations and workshops with various public and private institutions.

3. D**istribution of start-up grants** as compensation for damage to stand-alone structures, repair of main sleeping houses, and transportation assistance. This RCP will thoroughly describe the process of inspection, determination, and delivery of assistance for the various cases as described in the OBP. It will be developed in close collaboration with local community and government representatives in each location, and may be different depending on location. For example, FEMA's experience in Yap was that local officials asked that money not be distributed and that commodities be provided directly instead, as the money created social discord and problems. In less traditional cultures such as Chuuk or Pohnpei, money may be more appropriate, while outer islands may be best served by delivering repair materials or other provisions directly, saving the beneficiaries the cost of transport to the main island to spend their cash award. In any case, the Implementation Partner will recommend to USAID the most culturally appropriate form for awards and a plan for distribution.

Note that Reconstruction under a Presidentially-declared disaster should only consider rebuilding or replacement to its pre-disaster design, function and capacity. The codes and standards may be considered if formally adopted by government and a history of compliance can be determined by USAID through its implementing partner. In the absence of formally adopted codes and standards, a minimum standard of performance shall be adopted such as NFPA for fire resistance, ICC Exposure D for wind resistance and general building requirements, and other standards universally accepted. Agreement of acceptable/applicable standards should be reached between USAID, the PREPARE Implementing Partner and FEMA prior to any reconstruction activities. Cost effective mitigation cited in the OPB may be considered as well.

Below is an illustrative outline of the RCPs:

I. Baseline Data
- Updated baseline data on the vulnerable areas and populations disaggregated by gender, age, ethnicity, and other relevant variables that are likely to be affected.
- Updated baseline data on the (i) key public infrastructure – health and schools; (ii) public utilities; (iii) resources and capacity levels of the government, NGOs and private entities including faith-based organizations that could assist in the delivery of emergency relief.

II. Roles and Responsibilities
- Description on the roles and responsibilities of USAID, DOI, Implementing Partner and national and state public works/education/health offices on conducting on-site inspections to ensure compliance of Implementing Partners with specifications and verify progress of work.
- Description on the roles and responsibilities of USAID, DOI, Implementing Partner and national and state public works/education/health offices in repairing and rebuilding infrastructure.
- Description of the roles and responsibilities of local mayors with assistance from local religious and civic leaders on preparing and validating the list of homes that will be inspected by house inspectors managed by USAID's Implementing Partner.

III. Processes and Procedures
- Plan prepared for the process of inspecting individual's homes and property, from identification of the potential beneficiaries to the final determination of benefits grants (startup award, compensation for automobile, repair or reconstruction of home).
- Plan prepared for distribution of startup awards and noncash benefits to main island and outer island beneficiaries.
- Plan prepared for reconstruction of homes using local and international partners including local skilled tradesmen and companies, faith-based, community-based and other non-governmental organizations.

IV. Standby Agreements
- Description of the stand-by agreements with international and local construction companies that can assist in repairing and rebuilding of key public infrastructure, public utilities and homes.
- For disaster on small and distant outer islands where the concept of self-help remains viable, describe all stand-by agreements with international and local Implementing Partners that can provide single experience crew chief/supervisor who will oversee the self-help system.
- Description of the stand-by agreements with international and local construction materials suppliers
- Description of all stand-by agreements that will effect mass procurement, ocean transport and importation of building materials required for the repair and reconstruction of public infrastructure, public utilities and private homes.
- Description of all stand-by agreements with international and local Implementing Partners accustomed to dealing with US standards for building materials and procedures, for the receipt, clearance, handling, transport, storage, accounting, safeguarding and deployment of construction materials.

- Description of all stand-by agreements with international and local block-producing companies who can provide concrete blocks in accordance to program specification.
- Description of stand-by agreements with private entities that can dispense cash assistance Description of stand-by agreements with private entities that can dispense US Treasury checks, vouchers and materials for the purpose of helping recipients of repair assistance to purchase building materials from local vendors.

ANNEX E

Illustrative Outline of EIA and EMP Manuals

EIA Manual:

1. Objectives and Purpose of the EIA manual
2. Environmental policies of FSM and/or RMI and USAID
3. Government Partners, and Adherence to National and State Environmental Laws and Regulations
4. Initial Environmental Screening or Assessment
5. Standards and Processes of conducting EIA
6. Summary of Potential Impacts

EMP Manual:

1. Objectives and Purpose of the EMP manual
2. Environmental policies of FSM and/or RMI and USAID
3. Government Partners, and Adherence to National and State Environmental Laws and Regulations
4. Standards and Processes for Developing and Implementing the EMP

- Technical Approach
- Pre-Construction Stage (Social, Economic and Culture)
- Construction Stage (Physical-Chemical Environment, Biological Environment, Social Environment)
- Operation Stage(Physical-Chemical Environment and Social Environment)
- Implementation and M&E of EMP
- Reporting
- Working Procedures and Linkages with Government Partners

ANNEX F

List of Emergency Relief Commodities

The following goods and materials will be pre-positioned in Pohnpei, Yap and Majuro:

- Medical trauma supply kits, stocked to provide a one-week operational supply
- USAID hygiene kits
- Electrical generators between 2.5 and 125 kVA
- Smaller-size generators capable of restoring power in discrete locations on each of three locations, as well as on Lagoon and Outer islands
- 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 used) and other items appropriate for the storage and operations of the generators and reverse osmosis units
- Rolls of USAID blue plastic tarps sufficient for emergency shelter assistance for up to 200 families and for promptly protecting hospitals, schools and other public buildings
- Saline measuring devices for post-disaster taro patch contamination assessment

In Pohnpei and Yap, the following will be additional goods and materials that will be pre-positioned:

- Small-stream rainwater catchment kits which will include catchment gear, filtration, chlorination and purification capability to convert natural stream water flow (and other sources) into water suitable for human consumption

ANNEX G

Gender Analysis

Gender Issues in FSM

The 2011 Human Rights Report for FSM issued by the U.S. Department of State states that under the local law, women have equal rights, include the right to own property and that there are no structural barriers for women to access education and employment. However, social discrimination against women continues primarily because of cultural norms in FSM which put women on an unequal and lower status than men. In the Yap State of FSM, women are forbidden from entering the space where men are gathered for meetings. In another state, Chuuk, women must bow their heads in the presence of men during formal meetings. Despite these norms however, this is an increasing number of women who have demonstrated success in private business in the States of Yap and Pohnpei. Many women have found wage employment but their number is not at par with male employees.

The national government has organized a national women's group comprised of female public employees to promote the welfare of women. In 2010, the national government held a National Women's Conference that adopted three resolutions, namely: (i) requiring all four states of FSM to provide mandatory maternity leave for state employees; (ii) urging state governments to pass necessary laws to address domestic violence and other forms of violence against women; and (iii) endorsing a pending congressional bill to provide reserved seats for women in Congress. Two years after this national conference, none of these three resolutions was enacted.

In FSM, the law states that sexual assault, including rape, is a crime. However, the punishment for sexual assault (six to nine years of imprisonment or a fine) reflects the government's regard for the status of women. In addition, the legal landscape does not protect women against spousal rape. There are reports that spousal abuse is severe and this trend has continued for many years. The law in the country also does not prohibit sexual harassment, and there are anecdotal reports suggesting that this is pervasive in FSM. Because of social stigma, crimes such as rape and sexual assaults are under-reported and there are few cases that are pursued. By law, assault is a crime but there are no specific laws against domestic abuse. In most cases, there is a hesitation among abuse survivors to initiate legal persecution against family members because of the culture of silence relating to gender-based violence.

Gender Issues in RMI

RMI laws promote gender equality and criminalizes all types of offenses committed against women. There are laws that penalize rape, including spousal rape and sexual assaults but there are no laws that criminalize sexual harassments. RMI ratified in 2006 the international bill of rights for women, called the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). There is a recently approved legislation that has a clear prohibiting domestic violence against women. Yet, the results of the 2009 survey conducted by the RMI government indicated that 70 percent of married women have experienced spousal abuse. Women in the urban areas are at risk of being assaulted if there are out alone after dark. The incidence of teenage pregnancy in the RMI continues to be the highest among the Pacific Island countries. There is also a common perception that very few of these violent acts committed against women are reported because this will bring dishonor to the woman/girl and their families and clans.

There are little gender disparity in school enrollment and retention in primary and secondary education. The RMI is essentially on target to meet the MDG goals with regard to gender equality in education. Education infrastructures are only limited to the two main urban centers, Majuro and Pohnpei. Hence, there is an increasing number of families that are moving in from the outer islands to these two urban centers, adding more burdens to the already crowded schools. The gender parity in education, however, did not transcend into the employment sector. Female participation in the labor market constitutes only 30 percent only, with earnings that are on 70 percent of men's. This is partly due to the traditional reproductive women's roles that confine them to domestic work. In terms of inheritance and property rights, cultural norms only recognize the rights of male family members, particularly in outer islands.

Promoting Gender Equality in the PREPARE Project

To ensure compliance with USAID Gender Policy, the technical evaluation of PREPARE shall ensure the gender considerations are integrated in the entire project. Offerors will be evaluated based on how gender is integrated into the project cycle – planning, implementation, monitoring and evaluation, and the extent to which the application complies with the requirements of the Policy. The following are the gender entry points:

1. Project activities will be implemented in a manner that promotes fair, equitable, and meaningful inclusion of both men and women in all project activities. As part of the Project solicitation, the applicant should include women in their staff and among target groups in a representative manner as possible, and ensure increased participation of women in project implementation.
2. Conduct gender training for the project staff, partners and cooperators on gender awareness, gender analysis and gender-responsive planning. In all training activities, include a topic on gender and disaster-management and how to prevent gender-based violence, such as rape, in evaluation camps (e.g. construction of latrines in separate location for men and women).
3. Conduct gender analysis to identify gender issues, gender gaps and constraints that need to be addressed by the Project. For example, pre-pre-positioned commodities should also consider the specific needs of women and men. USAID hygiene kits should contain sanitary napkins, basic toiletries and contraceptives.
4. Collect sex-disaggregated data for baselines, reporting of project activities, such as disaster planning and training, and for reporting of all people-level indicators .
5. Conduct gender-responsive consultations to encourage the active participation of women. This may involve separate consultations with women and men to ensure that the voices of women are heard and reflected in project plans and activities.
6. Considering the cultural norms in FSM and RMI, the project will provide space for women to lead discussions during meetings, join and trainings, and equally contribute in making decisions.

7. In implementing disaster preparedness activities, such as emergency response and contingency planning, PREPARE will ensure that gender considerations are built into the plans and designs, in the delivery of emergency response and disaster relief in the rebuilding of small infrastructure such as houses or parts of the house.
8. Ensure that materials that will be prepared are gender-sensitive, promote gender equality and avoid gender stereotyping in depicting the roles of men and women in the area of disaster management.
9. Report on any of the seven gender indicators, as appropriate or develop custom gender indicators on gender equality, empowerment and GBV as stated in the USAID Gender Policy.