USAID FROM THE AMERICAN PEOPLE

SUBJECT: USAID/DCHA/OFDA Annual Program Statement (APS) No. APS-OFDA-17-000002 for Leveraging Academic Partnerships in Operational Humanitarian Environments

APS ISSUANCE DATE:	**June 6, 2017**
DEADLINE FOR RECEIPT OF QUESTIONS:	**June 19, 2017; 1600 hrs [EDT]**
FULL APPLICATION DUE DATE:	**July 12, 2017[1]; 1600 hrs [EDT]**
APS CLOSING DATE:	**December 31, 2017**

AUTHORITY AND INTRODUCTION

Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA), is seeking to support or stimulate the activities described in this Annual Program Statement (APS).

Section 491 of the FAA authorizes USG assistance for natural and man-made disasters abroad, as well as Disaster Risk Reduction (DRR) activities designed to reduce the impact of recurrent natural hazards and foreign disasters.

Pursuant to Section 493 of the FAA, the USAID Administrator is designated as the President's Special Coordinator for International Disaster Assistance. As part of USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), USAID/OFDA is designated as the lead USG office to provide and coordinate USG humanitarian assistance in response to foreign disasters. USAID/OFDA's mandate is to save lives, alleviate suffering, and reduce the social and economic impact of disasters. In pursuit of its mandate, USAID/OFDA works in cooperation with other USG offices and international humanitarian partners to continuously monitor global hazards and identify potential areas of need. USAID/OFDA is ready to respond whenever disaster strikes.

[1] Applications should only be sent to **OFDAAPS1702@ofda.gov**. USAID/OFDA will not accept applications via grants.gov. No late application will be accepted beyond the Full Application Due Date.

USAID/OFDA responds to all types of foreign disasters that cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Such natural disasters include but are not limited to earthquakes, volcanic eruptions, cyclones, and floods. USAID/OFDA also provides assistance during complex emergencies outside the U.S. when lives or livelihoods are threatened and/or impacted by civil conflict.

USAID/OFDA also works with disaster-prone countries to prevent, mitigate and prepare for the effects of potential disaster scenarios posed by natural and human-caused hazards. This includes assistance relating to disaster preparedness and risk reduction activities that aim to lessen adverse impacts of, and enhance the prediction of and contingency planning for, natural disasters abroad. Disaster planning and preparedness identifies the hazards present in a country or region; the vulnerability of people and infrastructure; and the resources available for relief, rehabilitation, and reconstruction efforts. Recognizing the benefits in lives and resources saved, USAID/OFDA provides DRR assistance to reduce risks to vulnerable people and property.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek USAID/OFDA one-time only funding in support of an initiative called "Leveraging Academic Partnerships in Operational Humanitarian Environments" and, if so, to assist them in developing and submitting applications. USAID/OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of applications.

This APS: (1) provides contextually relevant background information; (2) describes the program aim, results, and types of activities for which applications will be considered; (3) describes the level of funding available and the process and requirements for submitting applications; (4) explains the criteria for evaluating and selecting applications; and (5) refers prospective applicants to related documentation available on the Internet.

OFDA's *Guidelines for Proposals (2012)* can be accessed through the following link under "Submitting a Proposal" heading: http://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources. Note that the guidance and requirements outlined in Annual Program Statements supersede the *Guidelines*. However, the *Guidelines* are applicable regardless of whether OFDA solicits applications (such as this APS) or whether an organization submits an unsolicited application. Thus, in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

The preferred method of distribution of USAID APS and submission and receipt of concept papers and/or applications is electronically via http://www.grants.gov ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. However, applications under this APS should only be submitted and will only be accepted from OFDAAPS1702@ofda.gov.This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov

Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

SECTION I: FUNDING OPPORTUNITY DESCRIPTION

A. SPECIFIC PROGRAMMATIC GUIDANCE

1. Background

USAID/OFDA's Humanitarian Policy and Global Engagement Division (HPGE) proposes a two-year research initiative to advance disaster response operations in countries facing chronic vulnerabilities or protracted crises. For an investment of up to USD $4 million over two years, HPGE is releasing an APS calling for academic research that leverages a pilot program, existing research, and is in partnership with an international NGO or UN operational partner.

Every disaster or complex emergency brings a unique combination of response stakeholders and operational dynamics influencing the efficacy of related interventions. The majority of disaster response operations supported by USAID/OFDA are onetime events short in duration. However, a number of countries and regions that USAID/OFDA works in face chronic vulnerabilities related to environmental factors such as drought, hurricanes or earthquakes. Volatility generated by protracted conflicts and political crisis represent another source of recurrent vulnerability. In these circumstances, humanitarian need can often be anticipated and mitigated through research findings that identify trends and best intervention outcomes. These findings can also support coordination of interventions over longer response periods, and a transition to early recovery and long-term development.

Several research projects and UN initiatives have taken aim at interventions launched in countries facing chronic vulnerabilities, including livelihood modalities, displaced peoples camps, agriculture, water resource management, and early warning systems, among others. Academic research has been applied towards these humanitarian needs, and in many instances integrated in real-time to inform decision making, strategy and funding priorities within the UN architecture.

The expectation of this APS is to leverage existing or emerging academic research through partnerships with operational humanitarian assistance partners working in chronically vulnerable environments. Cost-sharing will be required, ensuring partner 'buy-in' and commitment.

USAID is a leader among donors in engaging and improving the performance of the humanitarian assistance architecture through financial, technical, and policy support. Through this APS, USAID/OFDA is committed to continuing its efforts to support the humanitarian community's stakeholders in achieving the goal of delivering the most effective humanitarian disaster response possible.

2. Program Scope and Objective(s) of this APS

The scope and objective(s) of the program(s) to be funded under the award(s) resulting from this APS includes: leveraging a pilot program, existing research project, or an existing UN global initiative in partnership with an international NGO or UN operational partner.

USAID/OFDA's primary objective will be to improve disaster response operations and corresponding interventions in countries facing chronic vulnerabilities or protracted conflict.

Key points related to program funding:

- USAID/OFDA strongly encourages creative and innovative ideas for two years of duration.
- USAID/OFDA will prioritize programs that build upon existing research, an existing pilot program, or existing UN global initiative that focuses on targeting chronically vulnerable countries or protracted humanitarian crisis in non-permissive environments.
- Programs should be up to two years in duration.
- Programs that strongly link academic research to an operational concept or modality within the international humanitarian system will be prioritized.
- USAID/OFDA will prioritize programs that demonstrate a partnership with operational UN agencies, international NGOs, national NGOs and community-based organizations.
- Research focusing on chronically vulnerable countries and/or non-permissive humanitarian environments will be prioritized.
- Cost-sharing will also be required, ensuring academic institutional 'buy-in' and commitment.
- Applicants should demonstrate fluency in the established humanitarian international system —both in the field and at headquarters (HQ) locations.
- During the duration of the award, periodic findings will be reported to USAID/OFDA.

End of Section I

SECTION II: AWARD INFORMATION

A. Funding and Type of Award

OFDA anticipates that up to approximately US $4 million will be available to support the program(s) or activity(ies) described herein, and final funding levels will depend on the content, quality, number of applications received, needs, availability of funding, and competing priorities.

OFDA will not consider any applications above a maximum amount of $1 million per application during the next two years. Applicants are encouraged to keep costs reasonable in relation to the scope of their proposed activities, recognizing that the total funding under this APS will cover a range of efforts.

B. Substantial Involvement

USAID/OFDA anticipates that a cooperative agreement(s) will be awarded as a result of this APS. Cooperative agreements are identical to grants except that USAID/OFDA will be substantially involved in the following areas:

(a) USAID/OFDA approval of the recipient's detailed implementation plans that include start up and implementation activities (limited to not more frequently than annually);

(b) USAID/OFDA approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);

(c) USAID/OFDA and recipient collaboration or joint participation which includes one or more of the following:

- Collaborative involvement of selection of advisory committee members (USAID/OFDA will also be a member), if applicable;

- USAID/OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic) provisions of sub-awards;

- USAID/OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application); and

- USAID/OFDA monitoring to permit direction or redirection because of interrelationships with other projects.

C. Program Duration

The program duration is for up to 24 months from the date of award. USAID/OFDA plans to fund approved activities starting in this current fiscal year (2017) up to 2018 and reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

D. Anticipated Number of Awards

USAID/OFDA plans to fund multiple awards under this APS. Nevertheless, USAID/OFDA reserves the right to make a single award not to exceed $1 million, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

E. Cost-Sharing (Matching)

Applicants are required to provide at least 10% of the total program cost of in-kind and/or cash contributions from non-USG sources. Any cost-sharing above this amount will be rewarded under the "cost-effectiveness" evaluation criterion set forth in Section V.3 below. Cost-sharing will be subject to 2 CFR 200.306 and the standard provision entitled "Cost Sharing (Matching)" (U.S. NGOs) or the standard provision entitled "Cost Share" for non-U.S. NGOs (see Section VI below).

F. Program Income

Any program income generated under the award(s) shall be added to USAID/OFDA funding and used for program purposes pursuant to 2 CFR 200.307.

G. Authorized Geographic Code

USAID's rules for the source of goods (other than "restricted goods," as described in ADS 312: http://www.usaid.gov/sites/default/files/documents/1876/312.pdf , and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314: http://www.usaid.gov/sites/default/files/documents/1876/314.pdf, which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228: http://www.gpo.gov/fdsys/pkg/CFR-2012-title22-vol1/pdf/CFR-2012-title22-vol1-part228.pdf.
These rules do not apply to procurement by the recipient with cost-sharing or program income funds.

The authorized geographic code for the award(s) resulting from this is 937 (See the standard provision entitled "USAID Eligibility Rules for Goods and Services" in Section VI below).

H. Title to Property

Title to property financed by USAID/OFDA under the award(s) will vest in the recipient subject to the property requirements set forth in - 2 CFR 200.310 – 2 CFR 200.316.

I. Post-Award Reporting

(a) Programmatic Reporting

Programmatic reporting will be in accordance with USAID/OFDA's typical reporting schedule, which includes quarterly, annual, and final reporting requirements) and OFDA *Guidelines for Proposals (2012)*:(http://www.usaid.gov/sites/default/files/documents/1866/guidelines_for_proposals_2012.pdf.)

(b) Financial Reporting and Payment

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant's systems, policies, and procedures meet USG and USAID requirements (see 2 CFR 200.305, 2 CFR 700.7, 2 CFR 700.8 and 2 CFR 200.327). The recipient(s) will be required to have either a U.S. bank account or a correspondent U.S. bank account into which payments under the award will be made.

End of Section II

SECTION III: APPLICANT ELIGIBILITY INFORMATION

USAID/OFDA will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. Applicants must complete all required steps (if any) with the host government to legally operate their program before implementing their program.

1. System for Award Management [SAM] and Unique Entity Identifier

Applicants must be registered in the System for Award Management (SAM) and include the date of their SAM expiration in their application. For registration go to: https://www.sam.gov/portal/public/SAM/

a. Requirement for System for Award Management [SAM] Registration

Unless Recipient is exempted from SAM registration requirement under 2 CFR 25.110, it must maintain the currency of information in the SAM until submission of the final financial report required under the award resulting from this APS or receive the final payment, whichever is later. This requires the recipient to review and update the information at least annually after the initial registration, and more frequently if required by changes in its information or another award term.

b. Requirement for Unique Entity Identifier [Data Universal Numbering System (DUNS)] numbers

If the pass-through entity is authorized to make subawards under this award it must notify potential subrecipients that no entity (see definition in paragraph c. below) may receive a subaward unless the entity has provided its unique entity identifier (DUNS number) to pass-through entity. The recipient[2] may not make a subaward to an entity unless the entity has provided its unique entity identifier (DUNS number).

c. Definitions

(1) ***System of Award Management (SAM)*** 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 SAM Internet site (currently at http://www.sam.gov).

(2) ***Unique entity identifier*** means the identifier required for SAM registration to uniquely identify business entities.

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

[2] "Non-Federal entity," "pass-through entity" and "prime recipient" are used interchangeably in this APS depending on the topic discussed.

(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 2 CFR 200.330).

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

(5) ***Subrecipient*** means an entity that:

(i) Receives a subaward from prime recipient[3] under this award; and

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

ADDENDUM (JUNE 2012):

a. Exceptions.

The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the System for Award Management (SAM) do not apply, at the prime award or subaward level, to:

(1) Awards to individuals
(2) Awards less than $25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)
(3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.

b. This provision does not need to be included in subawards.

[3] “Non-Federal entity”, “prime recipient” and “pass-through entity” are used interchangeably in this APS.

Pursuant to a USAID impracticality determination under 2 CFR 25.110(d)(2)(ii), this provision does not apply to grants and cooperative agreements with a total value of less than $25,000 awarded to foreign entities performing work outside the United States. In addition, subparagraph b. of this provision, requiring DUNS numbers for subawards, does not apply to subawards of less than $25,000 made to foreign subrecipients performing work outside the United States.

2. Types of Eligible Organizations

The following types of organizations may apply for USAID/OFDA funding under this APS:

(a) Types and Nationalities of Organizations

(1) U.S. and Non-U.S. Non-Profit Organizations

Qualified U.S. and non-U.S. non-profit organizations may apply for USAID/OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible.

(2) U.S. and Non-U.S. For-Profit Organizations

Qualified U.S. and non-U.S. for-profit organizations may apply for USAID/OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 2 CFR 200.400(g) and 2 CFR 700.13, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the contractor may be authorized.

(3) U.S. and Non-U.S. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for USAID/OFDA funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible.

(4) Public International Organizations

Public international organizations may not apply for USAID/OFDA funding under this APS.

(5) Other USG Agencies

USG departments and agencies may not apply for USAID/OFDA funding under this APS.

(b) Registration as a Private Voluntary Organization (PVO)

Pursuant to ADS 251.3.2 (a)(6), applicants do not need to be registered with USAID as a PVO to be eligible for funding under this APS.

(c) Review of Risks Posed by Applicants

In order for an award to be made, the Agreement Officer must review the risks posed by applicants, as discussed in 2 CFR 200.205. In evaluating risks posed by applicants, USAID will use a risk-based approach and consider any items such as the following:

1) Financial stability;
2) Quality of management systems and ability to meet the management standards prescribed in 2 CFR 200;
3) History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
4) Reports and findings from audits performed under Subpart F—Audit Requirements of 2 CFR 200 or the reports and findings of any other available audits; and
5) The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

In addition to this review, non-Federal entities must comply with the guidelines and provisions on government wide suspension and debarment in 2 CFR 180. These provisions restrict Federal awards, subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

In the absence of positive risk determination, an award can ordinarily not be made. However, in rare cases, an award can be made with “specific conditions” (*i.e.*, high risk and additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative risk determination cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

(d) New Partners

Partners new to USAID may submit applications. However, resultant awards to these organizations may be significantly delayed if USAID/OFDA must undertake necessary pre-award reviews of these organizations to determine their “responsibility” (see subparagraph [c] above). These organizations should take this into account and plan their implementation dates and activities accordingly.

3. Code of Conduct

As a condition for any award resulting from this APS, applicants must adopt and submit a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations and ensure that any sub-awardees also have adopted a code of conduct. Applicants must also submit a localizing paragraph describing how the code of conduct with be implemented in the proposed locality. Such code of conduct and localizing paragraph are described in the OFDA *Guidelines for Proposals (2012)* Section VII., Supporting Documentation.

4. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance) (September 2014)

(a) 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.

(b)(1) Except as provided in (b)(2), by accepting this award or any subaward, a non-governmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking.

(b)(2) The following organizations are exempt from (b)(1):

> (i) the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.
>
> (ii) U.S. non-governmental organization recipients/subrecipients and contractors/subcontractors.
>
> (iii) Non-U.S. contractors and subcontractors 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.

(b)(3) Notwithstanding section (b)(2)(iii), not exempt from (b)(1) are non-U.S. 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).

(c) 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)).

(d) The recipient must insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts for HIV/AIDS activities.

(e) 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. **Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements - Representation (April2015)**

(a) In accordance with section 743 of Division E, Title VII, of the Consolidated and further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), Government agencies are not permitted to use funds appropriated (or otherwise made available) under that or any other Act for providing federal assistance to an entity that requires employees, subawardees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The prohibition in paragraph (a) of this provision does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(c) By submission of its application, the prospective recipient represents that it does not require employees, subawardees, or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(End of provision)

End of Section III

SECTION IV: APPLICATION AND SUBMISSION INFORMATION

1. OFDA *Guidelines for Proposals (2012)*

OFDA's *Guidelines for Proposals (2012)* can be found on the USAID website: http://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources. Note that the guidance and requirements outlined in Annual Program Statements supersede the *Guidelines*. However, the *Guidelines* are applicable regardless of whether USAID/OFDA solicits applications (such as this APS) or whether an organization submits an unsolicited application. Thus, in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail. All application documents must be submitted in English with size 12 Times New Roman font.

2. Content of Applications

(a) Content of Full Technical Applications if requested by USAID/OFDA (Not to Exceed 20 Pages)

Under this APS, all proposed activities **must** fall under the Humanitarian Studies, Analysis, or Applications sector and the Applied Studies, Analysis, or Applications subsector, as described in those *Guidelines*.

- As noted in those *Guidelines*, at least one of the indicators for each subsector must be used.
- Applicants are requested to state in their applications: (1) the estimated cost per person receiving training under this program; and (2) the percentage of the total affected population (by administrative unit or site) to be served under any resulting award.
- Applicants must consider the role that gender plays, demonstrate an understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security, and include a plan for achieving gender-integration and -balance.
- Applicants are requested to address needs and USAID/OFDA's objectives within the proposed timeframe.
- The application should provide sufficient detail for the concrete understanding of methods to be used and for a determination of technical appropriateness to be made.
- Methodology for selecting the targeted population(s); target population clearly identified in terms of number, location, and current status.
- Protection mainstreaming: Applicants are required to mainstream protection by describing the risks for harm, exploitation and abuse faced by the affected population. Technical descriptions must include measures to mitigate and respond to protection risks. This is described in the OFDA *Guidelines for Proposals (2012)* Section IX.A., Sector Requirements.
- Gender Integration: Applicants are required to integrate gender by analyzing the roles and power dynamics between men and women, boys and girls, and then demonstrate how this relates to humanitarian needs and program design in the proposed setting. This is

described in the OFDA *Guidelines for Proposals (2012)* Section IX.A., Sector Requirements.

- Inclusion of Persons with Disabilities and Older People: Recognizing that persons with disabilities and older people are often unable to easily access assistance, applicants are required to describe what measures will be taken to include these populations in the proposed assistance. This requirement is described in the OFDA *Guidelines for Proposals (2012)* Section IX.A., Sector Requirements.
- A Detailed performance Monitoring and Evaluation plan in measuring results and impact of the program must be included as part of the application.
- Proposed indicators; the organization has made an attempt to identify impact, as well as output, indicators.
- How the proposed activities will complement other planned or ongoing initiatives (both those of the applicant and those of other partners/donors) in the country of operation (*e.g.*, how the proposed activities will interact and be sequenced with other humanitarian initiatives in the operational area or adjacent areas, how differing approaches are addressed in the proposed activities in order to minimize potential conflict amongst beneficiary populations.).
- Adherence to processes, guidelines and policies established by appropriate host government institutions and/or international agencies.
- Incorporation of local institutions, organizations or beneficiary groups into the program planning and implementation
- Safety and Security Assessment of the applicant's consideration of the security situation in the proposed area of implementation and if the planned program and budget are structured accordingly. This will include the applicant's contingency plan in the event activities are suspended or halted as a direct result of insecurity.
- Discussion of how the proposed program will adhere to the organization's security policy.
- Planned transition/exit strategy that transfers activities to host government institutions, local partners, and/or beneficiaries.

It is recognized that, in some programs, identification of specific teaming partners and sub-recipients cannot occur until after award and, hence, specific delineation of responsibilities and costs cannot be provided in the concept paper and/or application. Nevertheless, such information is, in fact, often known at the time the concept paper and/or application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and thereby facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their concept paper and/or application, if any, to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the concept paper and/or application.

USAID/OFDA encourages academic institutions to partner and collaborate with INGOs or UN operational partners. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List at: www.sam.gov, the U.S. Treasury "Specially Designated Nationals and Blocked Persons" at http://www.treasury.gov/resource-center/sanctions/SDN-

List/Pages/default.aspx and United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml) per ADS 303.3.9. Applicants working through local partners must ensure that local organizations have the capacity to carry-out expanded programs, and should consider a capacity-building component which will leave a lasting impact on local organizations.

An applicant must provide a list of all its contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers. USAID reserves the right to contact references other than those provided in the application.

Applications must be submitted in English. Documentation in other languages may be included as long as there is an English translation. Applications should use Word 2000 or newer and/or Excel 2000 or newer. The signed certifications and assurances (see the USAID/OFDA *Guidelines for Proposals (2012)* Section VI.G, Certifications and Assurances) are required at the time of submission of an application and may be provided in PDF format. Applications submitted without the required signed documentation will not be considered.

3. Place and Means of Submission

All questions and applications must be submitted electronically to OFDAAPS1702@ofda.gov.

4. Communications with OFDA

Potential applicants must not contact USAID/OFDA regarding this APS except as described in paragraph (3) above.

End of Section IV

SECTION V: APPLICATION REVIEW AND SELECTION INFORMATION

1. SELECTION PROCESS

Applications will be reviewed in accordance with the merit review criteria set forth in Section V.3 below. After evaluation of the applications, either award(s) will be made, or, if deemed necessary or desirable by USAID/OFDA, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. After the conclusion of any such discussions/ negotiations, such applicants will, unless otherwise advised, be required to submit a revised application, which will be re-evaluated against the criteria set forth in Section -V.3 below. Ordinarily, award(s) will be made after the first round of any such discussions/negotiations and revised applications; however, USAID/OFDA reserves the right to conduct subsequent rounds of discussions/negotiations and revised applications, and to limit the number of applicants with whom such subsequent discussions/negotiations would be conducted and revised applications requested.

2. SCHEDULE

This APS is open for 4 months from the date of issuance, although USAID/OFDA plans to review applications in batches. USAID/OFDA reserves the right to continue awarding programs after programming all funds in the first batch depending on the strength of the application. Applications received no later than **16:00hrs Eastern Standard Time (EDT) on July 11, 2017** will be included in the first batch of applications for review.

Questions concerning the first batch of applications under this APS must be received no later than July 11, 2017. Following this date, the questions received by that date, if any, (without attribution to the organization), and answers will be posted as an amendment to this APS if necessary in submitting applications or if the lack of such information would be prejudicial to any other prospective applicant. Questions must be in writing and should be e-mailed to **OFDAAPS1702@ofda.gov**. Oral explanations or instructions given before award(s) is/are made will not be binding.

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. If an award(s) results from the first batch of reviewed applications, the award date is anticipated to be September 30, 2017. Late applications will only be considered under subsequent batches of applications, if any.

3. MERIT CRITERIA

Applications will be reviewed jointly by USAID/OFDA/Washington and USAID/OFDA field staff in accordance with the following evaluation criteria. Other USAID staff, USG agencies, USAID/OFDA consultants, and other partners may also be invited to review applications on a case-by-case basis provided that such participation does not create a conflict of interest, and further provided that information contained in the application shall be used only for evaluation purposes and shall not be disclosed outside USAID/OFDA. Award(s) will be made to organization(s) whose application(s) offer the best value to USAID.

The merit review criteria and their respective weight (out of a total of 100 points) are:

1) Justification for Proposed Intervention(s) – 8 points

The applications will be evaluated based on the justification provided for the proposed program in terms of:

- Identified need(s) based on existing research, assessments, or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.
- The extent of the applicant's attempt to obtain historical and/or baseline data so that the status of the situation can be assessed (as applicable).
- The extent to which activities target identified needs and fill gaps in current humanitarian programs, as identified by partnership with operational humanitarian partner. Consultation with targeted communities prior to submission of the application, and incorporation of their concerns and needs into the application.

2) Technical Merits of the Application (Program Description)- 35 points

The application shall be evaluated from a technical perspective in terms of:

- Level of innovation and creativity in the program design and implementation.
- The application provides sufficient detail for the concrete understanding of methods to be used and for a determination of technical appropriateness to be made.
- Consistency of activities with Section I of this APS.
- Appropriateness of proposed activities to addressing needs and USAID/OFDA's objectives within the proposed timeframe.
- Proposed methodology for selecting the targeted population(s); target population clearly identified in terms of number, location, and current status.
- Strength and realism of the Monitoring and Evaluation plan in measuring results and impact of the program.
- Demonstrated understanding of the role that gender plays and the plan for achieving gender integration and balance in the administration of the program. A demonstrated understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security. Appropriateness of proposed indicators the organization has made to identify impact, as well as output.
- A well-planned transition/exit strategy that transfers activities to host government or national institutions, local partners, and/or beneficiaries.

3) History of Performance and Institutional Capability - 5 points

An applicant's history of performance is a mandatory evaluation criterion under this APS. Applications must include a list of all of the applicant's contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current email addresses and telephone numbers. USAID/OFDA may also contact references other than those provided in the application. Applicants will also be evaluated based on their institutional capability. Specifically:

- Contextual knowledge of the global humanitarian architecture.
- The applicant's capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous programs.
- The applicant's demonstrated ability to begin implementation expeditiously.
- History of performance record, including relationships with U.S. and host government authorities and target populations (see the USAID/OFDA *Guidelines for Proposals (2012)* Section VII.F.2).

In the case of an applicant without a record of relevant history of performance or for whom information on history of performance is not available, the applicant may not be evaluated favorably or unfavorably on history of performance.

4) <u>Sustainability – 30 points</u>

The applications will be evaluated on sustainability, in terms of:

- The applicant's plan for how resources might be obtained to continue the activity or program, if appropriate (e.g. cost-recovery mechanisms, discussions with development partners, etc.).

5) <u>Coordination – 10 points</u>

Applications will be reviewed in terms of the described level of coordination, specifically:

- An overview of how the proposed activities will complement other planned or ongoing initiatives (both those of the applicant and those of other partners/donors) in the country of operation (e.g. how the proposed activities will interact and be sequenced with other humanitarian initiatives in the operational area or adjacent areas, including Global level, how differing approaches are addressed in the proposed activities in order to minimize potential conflict amongst beneficiary populations).
- Demonstrated adherence to processes, guidelines and policies established by appropriate host government institutions and/or international agencies.
- Incorporation of local institutions, organizations or beneficiary groups into the program planning and implementation.

6) <u>Cost Effectiveness and Realism -- 10 points</u>

With regard to cost, the following sub-criteria will be used:

- Cost-effectiveness: This would include, but not be limited to voluntary cost share, if any;; and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to USAID/OFDA.

- Cost realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

7) <u>Security - 2 points</u>

In terms of security, applications will be evaluated based on:

- Assessment of the applicant's consideration of the security situation in the proposed area of implementation and if the planned program and budget are structured accordingly.
- Discussion of how the proposed program will adhere to the organization's security policy.
- Proposed contingency plan in the event activities are suspended or halted as a direct result of insecurity.

End of Section V

SECTION VI: ADMINISTRATION INFORMATION AND RELEVANT WEBSITES FOR REFERENCE

1. USAID Disability Policy and Accessibility Standards

The applicant's attention is directed to the OFDA *Guidelines for Proposals (2012)* Section VII.C, Disability Policy and Accessibility Standards. These policies have implications for both the program design and program budget.

2. Voluntary Survey on Faith–Based and Community Organizations

The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations, as described in the USAID/OFDA *Guidelines for Proposals (2012)* Section VII.E.

3. Branding Strategy and Marking Plan (BS/MP)

It is a Federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended, and 2 CFR 700.16) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and a Marking Plan by the "apparently successful applicant." The apparently successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.16 and USAID Automated Directive System (ADS) Chapter 320, *Branding and Marking* available at **http://www.usaid.gov/sites/default/files/documents/1868/320.pdf**. As an exception to the USAID/OFDA *Guidelines for Proposals (2012)* Section VI.F., applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application.

4. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods

The applicant's attention is directed to the OFDA *Guidelines for Proposals (2012)* Section VI.E., as well as ADS 312 and 313 (http://www.usaid.gov/sites/default/files/documents/1876/312.pdf and http://www.usaid.gov/sites/default/files/documents/1876/313.pdf). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration.

5. Regulations and References

1.) U.S. Non-Governmental Organizations

Awards to U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at: http://www.usaid.gov/sites/default/files/documents/1868/303.pdf.
- 2 CFR 200 which is available at: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- 2 CFR 700 which is available at http://www.ecfr.gov/cgi-bin/text-idx?SID=8f25e9f7573b9fb6988bf4de278591fd&tpl=/ecfrbrowse/Title02/2cfr700_main_02.tpl
- 22 CFR 228 which is available at http://www.gpo.gov/fdsys/pkg/CFR-2012-title22-vol1/pdf/CFR-2012-title22-vol1-part228.pdf.
- 48 CFR 31.2 for for-profit organizations, which is available at http://www.gpo.gov/fdsys/pkg/CFR-2012-title48-vol1/pdf/CFR-2012-title48-vol1-part31.pdf.
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: http://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf.

2.) *Non-U.S. Non-Governmental Organizations*

Awards to non-U.S. NGOs http://www.usaid.gov/pubs/ads/300/303maa.pdf resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at http://www.usaid.gov/sites/default/files/documents/1868/303.pdf.
- 48 CFR 31.2 for for-profit organizations, which is available at http://www.gpo.gov/fdsys/pkg/CFR-2012-title48-vol1/pdf/CFR-2012-title48-vol1-part31.pdf.
- USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf.
- 2 CFR 200 which is available at: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl. Note that, while 2 CFR 200 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable. 22 CFR 228: (http://www.gpo.gov/fdsys/pkg/CFR-2013-title22-vol1/pdf/CFR-2013-title22-vol1-part228.pdf. Note that, while 22 CFR 228 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.
- Chapter 591 of USAID's Automated Directives System (ADS-591), which is available at http://www.usaid.gov/sites/default/files/documents/1868/591.pdf
- Guidelines for Financial Audits Contracted by Foreign Recipients: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

End of Section VI

[END OF APS]