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Closing Date for Full Applications:	To Be Indicated in Requests for Full Application

SUBJECT: Request for Applications (RFA) SOL-OAA-13-000083
PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATIONS OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program

Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Agency for International Development (USAID) requests applications (proposals) from qualified and eligible organizations to manage and implement the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATIONS OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program. The applicable Catalog of Federal Domestic Assistance (CFDA) number is 98.001, *USAID Foreign Assistance for Programs Overseas.*

Applications in response to this RFA may only be submitted by eligible U.S. or non-U.S. nongovernmental non-profit organizations or for-profit organizations and public international organizations (PIOs). See Section III.A (Eligibility Information) of this RFA for more details. The successful applicant will, as the prime recipient of the award(s) resulting from this RFA, serve as the implementer of the POSITEC Program. The recipient will be responsible for the overall management and success of the POSITEC Program.

USAID anticipates making one award under a cooperative agreement arrangement. A cooperative agreement is distinguished from a grant by virtue of USAID having substantial involvement (beyond that which is permitted under a grant) in the implementation of the program. See Section II.B.2 of this RFA for more details.

Subject to the availability of funds, the cooperative agreement award will be for twenty-six months, with a maximum USAID funding level of $2,000,000. The activity will be fully funded upon award. Construction activities may only be a portion of the overall agreement, and the cost of construction activities at a single project site[1] must be less than $500,000.

[1] Under the award(s) resulting from this RFA, USAID's construction policy would limit the estimated cost of construction activities at a single project site to less than $500,000. A single project site is defined as, "a single undertaking of construction within a contiguous geographic location, including but not limited to, a road, a building, a wastewater treatment facility, a power plan a school, a clinic, etc.," but also includes contiguous multiples of the same." Therefore, the cost of construction activities at a single project site would include the cumulative cost of multiple housing units within a single project site. USAID will not automatically exclude concept papers that include $500,000 or more of construction in a single project site. If a proposed concept is deemed technically appropriate, USAID would will consider requesting a waiver from this policy if the applicant submitting that concept paper is invited to submit a full application, USAID may request additional information regarding a concept

Cost-sharing (matching) is not required under this RFA but USAID nevertheless encourages cost-sharing to the maximum practicable extent. See Section III.C of the RFA for additional information on cost-sharing (matching).

The award resulting from this RFA will be administered in accordance with 22 CFR 226 (U.S. NGOs only), Chapter 303 (NGOs only) or Chapter 308 (PIOs only) of USAID's Automated Directives System (http://www.usaid.gov/who-we-are/agency-policy), relevant U.S. Office of Management and Budget (OMB) Circulars and regulations, and the USAID standard provisions for U.S. or non-U.S. NGOs, or the USAID standard provisions for PIOs, as applicable. Further details and internet links may be found in Section I.A.2 of the RFA.

This RFA consists of this cover letter and the following documents:

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

If your organization decides to submit an application, it must be received no later than the time and date set forth above in accordance with the instructions set forth in Section IV.A of the RFA. Applications received after the closing date and time may not be considered, except as described in Section IV.A of this RFA.

Applicants should retain a copy of their application, and any enclosures thereto, for their records.

Issuance of this RFA does not constitute a commitment by USAID to make an award, nor shall USAID pay for any costs incurred in the preparation and submission of any application. Further, USAID reserves the right to reject any or all applications received.

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that would require a waiver in order to identify and evaluate the applicant's capability to monitor the design/construction for safety and quality and to address environmental impact issues.

Any questions concerning this RFA should be addressed as indicated in Section VII of the RFA.

Sincerely,

Cristina Sylvia

Cristina Sylvia
Agreement Officer
Office of Acquisition and Assistance
M/OAA/DCHA/OTI

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATIONS OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program

I.A. INTRODUCTION

I.A.1. Authority

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), Office of Transition Initiatives (OTI), is seeking to support or stimulate the activities described below, and requests applications from eligible U.S. or non-U.S. nongovernmental non-profit organizations or for-profit organizations and public international organizations (PIOs). See Section III.A (Eligibility Information) of this RFA for more details. The successful applicant will, as the prime recipient of the award(s) resulting from this RFA, serve as the implementer of the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATIONS OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program. The recipient will be responsible for the overall management and success of the POSITEC Program.

I.A.2. Administration of Award(s) Resulting from this RFA

The prime award(s) resulting from this RFA will be administered in accordance with the following:

- For U.S. NGOs: 22 CFR 226 which is available at http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title22/22cfr226_main_02.tpl.

- For U.S. and non-U.S. NGOs: Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at http://transition.usaid.gov/policy/ads/300/303.pdf.

- For Educational Institutions: 2 CFR 220 (formerly OMB Circular A-21), which is available at http://www.whitehouse.gov/omb/grants_circulars/.

- For Non-Profit Organizations: 2 CFR 230 (formerly OMB Circular A-122), which is available at http://www.whitehouse.gov/omb/grants_circulars/.

- For For-Profit Organizations: Part 31 of the Federal Acquisition Regulation (48 CFR Chapter 1), which is available at https://www.acquisition.gov/FAR/.

- For Non-Profit Organizations: OMB Circular A-133, which is available at http://www.whitehouse.gov/omb/grants_circulars/.

- For U.S. NGOs: USAID Mandatory and Required-as-Applicable Standard Provisions for U.S. Non-Governmental Organizations, which are available at: http://transition.usaid.gov/policy/ads/300/303maa.pdf.

- For Non-U.S. NGOs: USAID Mandatory and Required-as-Applicable Standard Provisions for non-U.S. Non-Governmental Organizations, which are available at: http://transition.usaid.gov/policy/ads/300/303mab.pdf.

- For PIOs: Chapter 308 of USAID's Automated Directives System (ADS-308), which is available at http://transition.usaid.gov/policy/ads/300/308.pdf.

- For PIOs: USAID Mandatory and Required-as-Applicable Standard Provisions for Cost-Type Awards to Public International Organizations, which are available at: http://transition.usaid.gov/policy/ads/300/308mab.pdf.

I.B. SPECIFIC PROGRAMMATIC GUIDANCE

I.B.1. Background and Context

Since July 2010, the internally displaced persons (IDPs) population in Haiti resulting from the January 2010 earthquake has decreased by over 75%, thanks in part to United States government (USG) support. In response to the earthquake, the USG invested resources in many highly-visible sectors. For example, the USG is responsible for: 27% of the T-Shelters constructed by the international community, or 29,100 T-Shelters; 44% of the home repairs completed by the international community, or the repair of 5,800 structures; and 36.5% of all rubble removed by the international community, or 2,700,000 m^3 of rubble.

In addition to these accomplishments, the USG also piloted a new approach for providing alternative housing options for IDPs as a method for clearing large IDP camps located on public spaces, such as neighborhood parks and plazas. The project was launched in 2011 by the Office of Transition Initiatives (OTI), part of the United States Agency for International Development (USAID). The program was designed to resettle internally displaced persons (IDPs) living in two public squares in the Pétion-ville neighborhood of Port-au-Prince. Working closely with the Mayor of Pétion-ville and the International Organization for Migration (IOM), USAID/OTI designed a program that offered families in the two public squares - Place St. Pierre and Place Boyer - three relocation options: housing repairs to structurally sound, existing homes; installation of temporary shelters; or one-year rental vouchers where the family negotiated with a landlord to rent their apartment and USAID/OTI provided the payment to the landlord for the rental period. To incentivize the beneficiary families to negotiate a market-based price – in order to avoid unnatural inflation in the rental market - the program provided a financial incentive for those who negotiated rates under the $500/year budget allowed. The project also provided a financial incentive for families to remain in their rental units by paying each relocated family a $50 payment if they were found, through mandatory monitoring visits by IOM, to have remained in their unit after two months.

The program experienced notable success. Within three months, 1,364 families had safely moved out of the public squares and into longer-term accommodations with the assistance of IOM and USAID/OTI. Of those 1,364 families, approximately 97% chose the rental subsidy option. A number of other international donors, as well as the Haitian government, adopted the USAID/OTI rental subsidy to continue camp clearance and resettlement work. By the end of 2012, approximately 23,438 families previously living in camps had received a rental subsidy provided by an international organization supporting the Haitian government's "16/6" initiative. In 2013, international organizations and the 16/6 initiative intend to fund another 19,539 subsidies.

The rental subsidy tool, developed at the peak of the IDP challenge, responded to the immediate need to clear high-profile public and private spaces in order to demonstrate a return to normality for both the beneficiaries and local populations living in proximity of the camps. While it proved extremely successful in its objective, however, there is a realization that rental subsidies alone are not adequate to address the shelter needs of the remaining IDP population in the Port-au-Prince metropolitan area.

Following the January 2010 earthquake, the Emergency Shelter & Camp Coordination/Management Cluster (CCCM) estimated that there were approximately 1,500,000 IDPs in Haiti (July 2010). As the international community began its response, a large percentage of the IDP population consolidated in open areas that were previously public community areas, such as parks and plazas. Other IDPs took up residence on various other types of private or public land, some of which did not serve as important community resources, were underutilized, or had other characteristics that made them likely candidates for potential conversion into new permanent communities. It is this second group of IDPs, those residing in camps on underutilized private or public lands, as well as other earthquake-affected populations, who the POSITEC Program intends to target.

From the macro perspective, the problem with addressing all IDPs with solely the rental subsidy approach is clear: Haiti lacks the necessary housing units for its population. According to the Haitian Government's own estimates, the country is in need of 500,000 additional units to meet the short and medium-term needs of the population. From a rental perspective, this means that the number and affordability of rental units is limited. Compounding the problem, populations in camps are generally more economically vulnerable as compared to the average Haitian citizen, and thus can little afford the increases that will likely accompany the saturation of the rental housing market.

The desire of IDP populations to remain on the same plot of land that they have resided on for nearly three years in non-durable housing units complements the need for new approaches to addressing their shelter needs. According to IOM data, the remaining IDP populations in these camps feel a strong attachment to the community in which they currently reside. This sentiment of already identifying with the community in which they are currently located is supported by the fact that over 71% of remaining IDPs report that they reside within the same commune or communal section as prior to the earthquake.

Furthermore, given the nature of these parcels – generally more secluded and not used by communities as a public space – there has been less interest or funding in relocating these populations. At least some of these camps represent ideal locations for the development of new communities. This is particularly true when IDPs reside on land owned by the government, which has a declared interest in increasing the stock of low-income housing in the country.

Many other camps are located on private land. In these cases, the owners have either not taken any action to evict the current, non-legal, "unofficial" residents, or they were unsuccessful in their efforts. The continued presence of the IDP populations, however, limits the landowners' access to the property and inhibits the owner from realizing the full social or economic value of the land.

The "unofficial" resident situation also has negative repercussion for the IDP populations living on the land. In particular, the fear of eventual eviction prevents the IDPs currently living in non-durable housing solutions from investing in their shelter needs. A lesson learned by the international community over the last three years of post-earthquake response is that, in many cases, enabling Haitians themselves to invest in improving their current shelter results in exponentially larger, and more efficiently executed, investment.

I.B.2. Program Objectives and Scope

The program's main goal is to demonstrate a "proof of concept" for identifying camps and/or other underutilized parcels in appropriate and/or viable locations for a new community; working with the landowners and the government to gain legal title to the land; creating replicable financial models for house construction that do not rely solely on donor funding; and helping these zones and their inhabitants develop into new, planned communities with permanent housing solutions. A "proof of concept" is the realization of a certain method or idea(s) to demonstrate its feasibility.

As referenced in section I.B.1, while existing approaches to reducing camp populations - involving primarily the provision of rental subsidies to clear camps - have been successful and will continue to be needed, they will not, on their own, be able to solve the major housing challenges that Haiti currently faces, particularly for IDP populations. Instead, the international community needs a methodology for accomplishing the above-stated goal.

Thus, the program will need to demonstrate that centrally-located land with clear title can be made available for low-income housing. Mediating and achieving access to this land will be a key role of the successful applicant.

To be replicable, another main goal of the program will be to develop house designs and a financial model that ensure that at least some of the costs of the development can be borne by the residents themselves. Leveraging of private investment to cover program costs could be one important way to increase financial viability/replicability of the program.

Finally, the third challenge that the program must address is the need to work with the community, the local authorities, and other key stakeholders to ensure that appropriate governance structures are in place to ensure a well-run, sustainable community is achieved.

The methodology must address the following aspects:

1. *Access to Land title*. The largest constraint to program success is legal access to land. The recipient of the award resulting from this RFA must obtain legal title to work on the land within six months of the award date, and initiate construction activities within twelve months.
2. *Financially Replicable Model*: The program methodology should be clear about the sources of funding – private financing, other donor organizations, and/or beneficiary contributions – expected to achieve the program objectives and their uses. If private financing, other donor funding, or beneficiary contribution is expected, the methodology should explain and differentiate how the program intends to utilize private and USAID award funding.
3. *Beneficiary participation*: The program methodology should be clear about the involvement of beneficiary populations in improving their communities, particularly their involvement through the various phases of construction and their role in contributing to their own permanent housing solutions. USAID envisions extensive participation of beneficiary communities.
4. *Sustainability*: The program methodology should be clear about how the proposed program is sustainable, including how community organizations/committees will be leveraged to improve sustainability.
5. *Communications Strategy*: The program methodology should be clear about how communications tools will be utilized to mobilize citizen participation and contribute to the achievement of program objectives. The description should also include information about dissemination of successes and lessons learned at the end of the program.
6. *Exit option/Temporary Housing Plan*: If the methodology includes a long-term obligation on the part of IDP community members to pay for their housing units, the methodology must include a viable "exit" option for those not interested in participating. Additionally, the program methodology should include applicant's plan for addressing the housing needs of the population during construction.
7. *Design and Construction*: The program methodology should provide a short summary of the methodology for design and construction of houses. The summary should describe the approach to creating concept design drawings and how drawings will be checked by a certified, US-licensed engineering firm. If applicable, the methodology should describe planned approaches to capacity-building for local tradesmen.

   The following Standards and Guidelines must be adhered to in all construction:

- 2012 International Building Code
- American Society of Civil Engineers Minimum Design Loads for Buildings and Other Structures, SEI/ASCE 7-05, 2005
- American Concrete Institute Building Code Requirements for Structural Concrete (ACI318-05), 2005
- American Concrete Institute Building Code Requirements for Masonry Structures (ACI530-05), 2005
- American Forest and Paper Association National Design Specification for Wood Construction with 2005 Supplement (NDS-05), 2005

At a minimum, the construction plans must include the following:

- Complete Construction Drawings, certified by a certified, US-licensed professional engineer, for all housing and infrastructure;
- All relevant Technical Specifications for construction activities;
- Structural Design Calculations, certified by a licensed professional engineer.

Awardee will also provide a detailed site management plan, including but not limited to:

- Quality assurance/quality control (QA/QC) procedures to be implemented on site;
- Workplace health and safety plan.

8. *Disaster Risk Reduction*: The program methodology should be clear about how the program will leverage existing disaster risk reduction (DRR) tools and lessons-learned to develop the community in a manner that ensure minimal damage in the event of a disaster.

The list above is by no means exhaustive. Rather, the list is illustrative of the types of issues that need to be addressed in the program methodology.

I.B.3. Program Duration

This program will be implemented over a twenty-six month period.

I.B.4. Cross-Cutting Issues

There are a number of cross-cutting issues that will apply regardless of proposed implementation model. These include, but are not necessarily limited to, the following:

(a) Gender

Implementing partners are expected to have familiarity with the gender issues related to IDP populations as well as USAID policies on gender (see USAID ADS Chapter 201 and http://www.usaid.gov/what-we-do/gender-equality-and-womens-empowerment). Program activities should identify and take into account the gender dimensions related to this type of programming, especially in terms of equitable participation of men and women. The program must integrate gender considerations into all activities.

(b) Environmental

The transformation of temporary, earthquake-affected communities sheltered in non-durable housing solutions into new, low-income communities will require the development of housing units, as well as other related infrastructure needs. The program must consider issues related to siting of IDP communities, both locations of housing units and access to services, which limit adverse consequences for the environment. Based on the location selected as the focus of the program, these issues must be considered at all scales.

In addition, the program will be subject to environmental review by USAID, and the recipient of the award resulting from this RFA will need to comply with any environmental requirements resulting from USAID's environmental review. See Section III.F of this RFA.

I.C. PROGRAM MANAGEMENT

I.C.1. Overall Management Responsibilities

The recipient(s) of the award(s) resulting from this RFA is accountable to USAID for all funds or other contributions provided under the award, and for compliance with all terms and conditions of this award. This includes all acts or omissions of sub-recipients/contractors/partners, for which the recipient bears full responsibility to USAID. The prime recipient is responsible for: (a) the selection of sub-recipients/contractors/partners and ensuring their responsibility and eligibility; (b) the adequacy of the sub-award/contract (including those which are required by the prime award to "flow-down" to sub-recipients and/or contractors) and post-award management thereof; (c) monitoring and reporting to USAID on the performance of sub-recipients/contractors/partners; and (d) ensuring their compliance with the terms and conditions of the prime award and the sub-award/contract.

I.C.2. Staff and Resources

The recipient is responsible for providing or securing all staff and resources needed for successful implementation, management, and monitoring of the program. The recipient should not expect that USAID will provide any logistical support.

I.C.3. Key Personnel

USAID has determined that the program will require the following key personnel positions, some of which may be combined if appropriate:

- **Program Director**: Responsible for program leadership and implementation.

- **Lead Construction Manager**: Responsible for review and approval of housing construction specifications and for providing monitoring and oversight of engineering activities related to the construction component of the program.

- **Lead Community Liaison Officer**: Responsible for developing relationships, mobilizing community contributions, and assisting in improving outreach to the identified community.

- **Environmental Specialist:** Responsible for preparation and oversight of all required environmental documentation (Environmental Assessment and/or Environmental Mitigation Plan and Report (EMPR)). Provides technical assistance to construction designs to ensure environmental sustainability. Monitors project implementation for the required environmental mitigation measures as per the EA/EMPR.

I.C.4. Monitoring and Evaluation (M&E) Plan

Performance management requires access to useful and timely information on a broad range of factors throughout the life of a program. Without planning how and when this information will be obtained, it will be difficult or impossible, once activities start, to put systems in place to ensure adequate information flow to enable ongoing decision-making and to meet performance reporting requirements (see Section VI.C of this RFA). The recipient must take adequate steps to plan and institutionalize a process for collecting performance information as part of everyday work. This performance information consists of the indicators that will measure progress toward intermediate and final results, with baseline data and periodic and final performance targets.

The recipient must maintain an overall Monitoring and Evaluation (M&E) Plan which will serve as a tool to plan and manage the process of monitoring, evaluating, and reporting progress toward achieving the desired results. Appropriate gender-sensitive methodologies must be used. The M&E Plan should include a plan and schedule to establish a baseline for the indicators, and a process for setting performance targets and monitoring for performance and impacts, including the following:

- Performance targets, with appropriate benchmarks and milestones of progress.

- The performance indicators that will measure progress toward achieving the desired results.

- A plan and schedule to establish a baseline for the indicators.

- The schedule for data collection, including the actual time period the data covers, and when data will be collected.

- The source of the data and the methods for data collection and analysis.

- Disaggregation of all people-level performance indicators by sex.

- Documentation of known data limitations of each performance indicator by explaining any data quality limitations and what steps will be taken to address them.

- Description of the data quality assessment procedures that will be used to verify and validate the measured values of actual performance of all the performance information.

- The estimated costs of collecting, analyzing, and reporting performance data in the budget.

- A calendar of performance management tasks (*e.g*., reviewing performance reports, conducting site visits, updating and revising the performance management plan as may be necessary, etc.) that must be conducted over the expected duration of the program, with approximate timeline for the completion of each task, recognizing there will be modifications necessary based on the sub-award portfolio.

- An Evaluation Plan that identifies planned evaluations, which should include possible evaluation questions, ideas for evaluation design, and methodologies to be used. Also see Section VI.C.3(4) of this RFA.

- Table 3 of the Environmental Mitigation Plan and Report (EMPR)[2] shall be used to monitor the environmental mitigation measures that are required as per the EA and/or EMPR.

[2] For USAID/Haiti, the EMPR is equivalent to an Environmental Monitoring and Mitigation Plan (EMMP), and these terms are used interchangeably in this RFA.

SECTION II – AWARD INFORMATION

II.A. NUMBER OF AWARDS, FUNDING, AND PERFORMANCE PERIODS

As indicated in the cover letter of this RFA, USAID anticipates making one cooperative agreement award. Subject to the availability of funds, the cooperative agreement award will be for twenty-six months, with a maximum USAID funding level of $2,000,000. The activity will be fully funded upon award Construction activities may only be a portion of the overall agreement, and the cost of construction activities at a single project site must be less than $500,000[3].

II.B. AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

II.B.1. Award Type

USAID intends to award a cooperative agreement to the responsible applicant whose application, conforming to this RFA, offers the greatest value in furthering the goals of the program described in Section I of this RFA. A cooperative agreement is distinguished from a grant by virtue of USAID having substantial involvement (beyond that which is permitted under a grant) in the implementation of the program.

II.B.2. Substantial Involvement

USAID will be substantially involved in the implementation of the program described in Section I of this RFA under the cooperative agreement award described in Section II.A above. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the program is to assist the recipient in achieving the supported objectives. It is expected that the Agreement Officer will delegate the following approvals to the AOR, except for changes to the Program Description or the approved budget, which may only be approved by the Agreement Officer.

Substantial involvement will be limited to:

[3] Under the award(s) resulting from this RFA, USAID's construction policy would limit the estimated cost of construction activities at a single project site to less than $500,000. A single project site is defined as, "a single undertaking of construction within a contiguous geographic location, including but not limited to, a road, a building, a wastewater treatment facility, a power plan a school, a clinic, etc.," but also includes contiguous multiples of the same." Therefore, the cost of construction activities at a single project site would include the cumulative cost of multiple housing units within a single project site. USAID will not automatically exclude concept papers that include $500,000 or more of construction in a single project site. If a proposed concept is deemed technically appropriate, USAID would consider requesting a waiver from this policy if applicant submitting that concept paper isinvited to submit a full application. USAID may request additional information regarding a concept that would require a waiver in order to identify and evaluate the applicant's capability to monitor the design/construction for safety and quality and to address environmental impact issues.

(1) Review and Approval of Annual Implementation Plans (Work-Plans) and any revisions to Annual Implementation Plans (Work Plans).

(2) Approval of Specified Key Personnel: Program Director, Lead Construction Manager, and Lead Community Liaison Officer, and Environmental Specialist.

(3) Approval of revisions to the Recipient's overall Monitoring and Evaluation (M&E) Plan.

(4) Collaborative involvement in selection of members in any technical advisory committee for the program's sustainability, and membership on such committee, if applicable.

(5) Agency authority to immediately halt a Construction Activity[4]

[4] Upon approval of the construction documents as part of the work plan, the AO will amend the agreement to incorporate the specifications for construction activities included in this agreement.

SECTION III – ELIGIBILITY INFORMATION

III.A. TYPES OF ENTITIES THAT MAY APPLY

This program is authorized under the Foreign Assistance Act of 1961, as amended. To be eligible for an award, an organization must be a qualified U.S. or non-U.S. non-profit organization or for-profit organization, or a Public International Organization (PIO). A PIO is an international organization composed principally of countries, or any other organization that the USAID General Counsel or the USAID Bureau for Food Security designates as a PIO. A list of PIOs may be found at http://transition.usaid.gov/policy/ads/300/308maa.pdf.

Not for For-Profit Organizations: Pursuant to 22 CFR § 226.81, it is USAID's policy not to award fees nor profit under assistance instruments. Other reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (see 22 CFR 226.27), may be paid under the agreement.

All types of entities are eligible as collaborating partners (*e.g.*, sub-recipients or contractors at various tiers), provided that they are not excluded from U.S. Government (USG) acquisition and assistance awards (this may be verified through the U.S. Government System for Award Management [SAM] at https://www.sam.gov/portal/public/SAM/). In preparing the application, it is the applicant's responsibility to ensure that no individuals or organizations proposed for participation in the program are excluded by the USG. After award, it is the Recipient's responsibility to ensure that no transactions are conducted with excluded parties.

Collaborating partners may be contractors or sub-recipients, and applicants should be aware of the distinction between procurement contracts (acquisition) and sub-awards (assistance), as the terms are defined in 22 CFR 226.2 (also see §___.210 of OMB Circular A-133). Contracts are subject to:

- U.S. NGOs: 22 CFR 226.40-49 and the USAID standard provision entitled "USAID Eligibility Rules for Goods and Services" (see Section III.D below).

- Non-U.S.NGOs: The USAID standard provisions entitled "Procurement Policies" and "USAID Eligibility Rules for Procurement of Commodities and Services (see Section III.D below).

- PIOs: The USAID standard provision entitled "Financial Management, Procurement, and Evaluation."

Sub-awards are subject to:

- U.S. NGOs: 22 CFR 226.5 and the USAID standard provision entitled "Applicability of 22 CFR Part 226."

- Non-U.S.NGOs: The standard provision entitled "Subawards."

- PIOs: N/A.

If the recipient is an NGO (but not a PIO), the recipient's and sub-recipients' contractors and subcontractors at all tiers must also meet USAID's supplier nationality requirements described in Section III.D below. Please note that it is USAID policy that no profit (*i.e.*, any amount in excess of allowable direct and indirect costs) is payable under the prime award or under any sub-award (*i.e.*, sub-grants and sub-cooperative agreements, but excluding procurement contracts). However, profit is payable by the prime recipient or a sub-recipient to a contractor/vendor if the recipient or sub-recipient is procuring goods or services in furtherance of the program being supported by the award or sub-award. Please refer to the following for additional information: (http://transition.usaid.gov/policy/ads/300/303sai.pdf).

III.B. USAID ENCOURAGES APPLICATIONS FROM POTENTIAL NEW PARTNERS

USAID strongly encourages applications from potential new partners. Awards to potential new partners may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their "responsibility" (see Section III.E below). These organizations should take this into account and plan their implementation dates and activities accordingly.

III.C. COST-SHARING (MATCHING)

There is no mandatory level of cost-sharing (matching) for this program but USAID nevertheless encourages cost-sharing to the maximum practicable extent. Cost-sharing or matching means a portion of project or program costs not borne by the U.S. Government and includes cash and in-kind contributions. For NGOs, cost-sharing is subject to 22 CFR 226.23 and the USAID standard provision for U.S. NGOs entitled "Cost-Sharing (Matching)" or the USAID standard provision for non-U.S. NGOs entitled "Cost-Share," which, *inter alia*, require that cost-sharing be verifiable from the Recipient's records. Cost-sharing or matching is normally associated with contributions from the same prime and sub-recipient sources that also receive USAID funds under an award, but can include contributions from third parties. Failure to meet a cost-sharing requirement can result in the Recipient having to make refunds to USAID or a reduction in future funding. There are no cost-sharing provisions for PIO awards; however, cost-sharing under PIO awards affects whether USAID is the sole contributor to the PIO's program which, in turn, can affect the applicability of some standard provisions for PIO awards.

III.D. ELIGIBILITY OF GOODS AND SERVICES FOR USAID FINANCING

Note: All of the following applies to NGOs. Only Section III.D.4 below applies to PIOs.

III.D.1. Applicable Rules

The recipient must comply with USAID's *Rules for Procurement of Commodities and Services Financed by USAID* in 22 CFR 228 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=260c5b7cc4cf7639856f204d96e3515f&rgn=div5&view=text&node=22:1.0.2.22.25&idno=22) in the procurement and long-term lease (as defined in 22 CFR 228.01) of goods and services with USAID funds. These rules (which do not apply to procurement or long-term lease of goods and services with cost-sharing or program income funds) govern the *source* of USAID-financed commodities and the *nationality* of suppliers of USAID-financed commodities and services, which must be in a country that is included in the authorized geographic code (see Section III.D.1[c] below). These rules apply to the recipient's procurement contracts (as defined in 22 CFR 226.2) with vendors (see paragraph [c] of §___.210 of OMB Circular A-133 at http://www.whitehouse.gov/omb/grants_circulars/), and to subcontracts at all tiers under the recipient's procurement contracts.

III.D.2. Sub-Awards

These rules do not apply to sub-awards (as defined in 22 CFR 226.02), but do apply to the procurement and long-term lease of goods and services by sub-recipients (as defined in 22 CFR 226.2, and as described in paragraph (b) of §___.210 of OMB Circular A-133) at all tiers, and to those sub-recipients' procurement contracts and subcontracts with vendors at all tiers. These rules do not apply to procurement or long-term lease of goods and services with cost-sharing or program income funds.

III.D.3. Authorized Geographic Code

For the award(s) resulting from this solicitation, the authorized geographic code for the *source* of USAID-financed commodities (other than "restricted commodities," as discussed below), and for the *nationality* of suppliers of USAID-financed commodities (other than restricted commodities) and services (other than ocean and air transportation, construction, and engineering services, as discussed below), is Geographic Code 937. Geographic Codes are described in 22 CFR 228.03 and the Internal Mandatory References to Chapter 310 of USAID's Automated Directives System (ADS 310) entitled "List of Developing Countries" (http://transition.usaid.gov/policy/ads/300/310maa.pdf), "List of Advanced Developing Countries" (http://transition.usaid.gov/policy/ads/300/310mab.pdf), and "List of Prohibited Source Countries" (http://transition.usaid.gov/policy/ads/300/310mac.pdf)

III.D.4. Restricted Commodities

"Restricted Commodities" are certain agricultural commodities (see Section II.A of the USAID Commodity Eligibility Listing at http://www.transition.usiad.gov/policy/ads/300/31251m.pdf for a list of restricted agricultural commodities), motor vehicles (excluding driver services, as defined in 22 CFR 228.19[b]), pharmaceuticals, condoms and contraceptives, pesticides, used equipment, and non-local purchase of fertilizer. Special rules apply to restricted commodities, and are described in ADS 312.3.3 (http://www.transition.usaid.gov/policy/ads/300/312.pdf).

III.D.5. Ocean and Air Transportation Services

Ocean and air transportation services will be subject to the requirements of the USAID standard provisions entitled "Ocean Shipment of Goods" and "Travel and International Air Transportation," respectively.

III.D.6. Construction Contracts with Foreign-Owned Local Firms

When the estimated cost of a contract for construction is $10 million or less and only local firms will be solicited, a local corporation or partnership which is a foreign-owned local firm (*i.e*., owned or controlling interest by individuals who are not citizens or permanent residents, or equivalent immigration status, of the U.S. or the cooperating/recipient country) will be eligible only if it is determined by USAID to be an integral part of the local economy (however, such a determination is contingent on first ascertaining that no U.S. construction company with the required capability is currently operating in the cooperating/recipient country or, if there is such a company, that it is not interested in bidding for the proposed contract). A foreign-owned local firm is an integral part of the local economy if: (1) it has done business in the host country on a continuing basis for at least three years prior to the issuance date of invitations for bids or requests for proposals; (2) it has a demonstrated capability to undertake the proposed activity; (3) all, or substantially all, of its directors of local operations, senior staff, and operating personnel are lawfully resident (or equivalent immigration status to live and work on a continuing basis) in the host country; and (4) most of its operating equipment and physical plant are in the cooperating/recipient country.

III.D.7. Engineering and Construction Services from Advanced Developing Countries

Advanced developing countries, as defined in 22 CFR 228.01, which USAID has determined to have attained a competitive capability in international markets for construction services or engineering services are not eligible to furnish USAID-financed construction and engineering services unless specifically approved by USAID.

III.E. APPLICANT RESPONSIBILITY

Note: The following only applies to NGOs. None of the following applies to PIOs that are designated as "Category 1" in the List of PIOs (http://transition.usaid.gov/policy/ads/300/308maa.pdf). In determining the responsibility of Category 2 PIOs, the USAID Agreement Officer will consider: (a) documentation and information provided by the USAID Delegated Cooperation Secretariat (DCS); (b)the quality of the PIO's past performance on USG and other donor-funded projects, including compliance with the terms and conditions of the funding agreements; (c) the PIO's most recent audited financial statements as prepared in accordance with the

PIO's charter or governance structure; (d) applicable policies and procedures (*e.g.*, financial management, procurement, property management, audits, and human resources) of the PIO; (e) projected budget, cash flow, and organization charts as relevant to the award under consideration; and (f) other information that may be necessary to fully assess whether the PIO has the necessary management competence to plan and carry-out the intended activity.

In order for an award to be made, the USAID Agreement Officer must make an affirmative determination that the applicant is "responsible," as discussed in ADS 303.3.9. This means that the applicant must possess, or must have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

The following criteria are used by USAID in determining an applicant's "responsibility:"

(a) Adequacy of Applicant's Program Description, Budget, and Monitoring System.

(b) Adequacy of the Applicant's Financial Resources for Program Performance.

(c) Applicant's Ability to Meet Award Conditions:

 (1) Compliance of Applicant's Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28 (U.S. NGOs) or the USAID standard provision for non-U.S. NGOs entitled "Accounting, Audit, and Records."

 (2) Compliance of Applicant's System of Reports and Records with 22 CFR 226.50-53 (U.S. NGOs) or the USAID standard provision for non-U.S. NGOs entitled "Accounting, Audit, and Records."

 (3) Compliance of Applicant's Internal Control Systems with Applicable USG Cost Principles (see 22 CFR 226.27).

  (A) Internal Controls.

  (B) Personnel Policy is Reasonable under Applicable USG Cost Principles.

  (C) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (http://aoprals.state.gov/), and Complies with Fly America Requirements.

(4) Compliance of Applicant's Property Management System with 22 CFR 226.30-37 (U.S. NGOs) or the USAID standard provision for non-U.S. NGOs entitled "Title To and Use of Property."

(5) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (http://www.usaid.gov/policy/ads/500/591maa.pdf) for non-U.S. NGOs.

(6) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49 (U.S. NGOs) or the USAID standard provision for non-U.S. NGOs entitled "Procurement Policies."

(7) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.

(d) Satisfactory Record of Performance by Applicant.

(e) Satisfactory Record of Business Integrity by Applicant.

(f) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

In the absence of an affirmative "responsibility" determination, an award can ordinarily not be made. Awards to potential new partners may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their "responsibility." These organizations should take this into account and plan their implementation dates and activities accordingly.

III.F. ELIGIBILITY OF ACTIVITIES UNDER USAID'S ENVIRONMENTAL REGULATIONS

(a) Section 117 of the Foreign Assistance Act of 1961, as amended, 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 22 CFR 216 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=40fe09f819448bee0589edc48e9f5ae7&rgn=div5&view=text&node=22:1.0.2.22.15&idno=22) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (http://transition.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. The environmental compliance obligations of the Recipient of the award(s) resulting from this RFA under these regulations and procedures are specified in the following paragraphs.

(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 the award(s) resulting from this RFA may be implemented unless the required environmental documentation outlined in the environmental threshold determination (ETD), as defined by 22 CFR 216, has been completed and approved for that activity. The ETD shall be issued for the IEE determination by the Bureau Environment Officer (BEO) previous to the award. The ETD shall provide the direction as to what environmental compliance documentation is required (a Request for Categorical Exclusion (RCE), an EMPR from a Negative Determination with Conditions, or an Environmental Assessment (EA) resulting from a Positive Determination) (Such documents are hereinafter described as "approved Regulation 216 environmental documentation."). Project activities shall not commence until approval of requisite paperwork is received from the Mission Environmental Officer (MEO).

(d) USAID is currently preparing an IEE for the project, which will be completed prior to award. The Environmental Analysis in the technical application (see Section IV.C.1[d][ii] of this RFA) will be reviewed by USAID for the purpose of conducting an IEE of the proposed program. Depending on the results of the IEE, USAID may:

(1) Approve an RCE.

(2) Determine 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. Such conditions shall be stipulated in the award, and the Recipient will be responsible for implementing all IEE conditions pertaining to activities to be funded under the award.

(3) Determine that a Positive Determination applies to one or more of the proposed activities. This indicates that these activities have the potential for significant adverse effects on the environment. In such cases, the Recipient may be required to prepare and submit an Environmental Assessment (EA) addressing the environmental concerns raised by such activities. No activity identified under a Positive Determination can proceed until Scoping (as described in 22 CFR 216.3[a][4]) and an EA (as described in 22 CFR 216.6) are completed and approved by USAID. (Note: The completed Scoping Statement is normally submitted by the Mission Environmental Office [MEO] to the BEO when the project originates in a Mission. The Statement may be circulated outside the Agency by the BEO with a request for written comments within 30 days and approved by the BEO subsequently. Approval of the Scoping Statement must be provided by the BEO before the EA can be initiated.) Accordingly, the technical and cost/management applications would need to reflect IEE or EA preparation costs and approaches.

(e) As part of its annual work-plans, the Recipient, in collaboration with the AOR and MEO/BEO, shall review all ongoing and planned activities under the award 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 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.

(f) 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 applicant or Recipient may need to prepare and submit an EMMP or M&M Plan for USAID approval. The EMMP or Project M&M Plan will describe 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. Unless included in the successful technical application or modifications/revisions thereto, the completed EMMP or M&M Plan will be integrated into the work-plan. The approved EMMP or M&M Plan will be integrated into subsequent annual work-plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

(g) If applicable, the Recipient will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen sub-award and contract proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is required when the nature of the proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts; yet, due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of these activities cannot proceed until the ERF or ER checklist is completed and approved by USAID. The Recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented. The Recipient will also be responsible for periodic reporting to the AOR, as specified in the award.

(h) The costs of environmental compliance will be reimbursable under the award(s) resulting from this RFA provided that they are otherwise in accordance with the terms and conditions of the award.

(i) If the successful applicant is a PIO, USAID will strive to rely upon the PIO’s application of its own environmental policies to the activity proposed and will include appropriate language in the award, giving due regard to both the independence and sovereignty of the PIO and the purpose and intent of USAID's environmental regulations and policies.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

IV.A. GENERAL CONDITIONS AND INSTRUCTIONS

(a) *Definitions*.

As used herein:

“Discussions” are negotiations that occur that may, at the Agreement Officer’s discretion, result in the applicant being allowed to revise its application.

“In writing,” “writing,” or “written” means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

“Concept paper modification” is a change made to a concept paper before the RFA’s closing date and time for concept papers, or made in response to an RFA amendment, or made to correct a mistake at any time before USAID completes its review of concept papers.

“Application modification” is a change made to an application before the RFA’s closing date and time for applications, or made in response to an RFA amendment, or made to correct a mistake at any time before award.

“Concept paper revision” is a material change to a concept paper made after the RFA’s closing date for concept papers, excluding changes made in response to an RFA amendment, or made to correct a mistake at any time before USAID completes its review of concept papers (which are concept paper modifications).

"Application revision” is a change to an application made after the RFA's closing date for applications, at the request of or as allowed by the Agreement Officer as the result of negotiations. An application revision may take the form of a complete revised application or an addendum to the previously submitted application or application revision.

“Time,” if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) *Amendments to RFA*.

(1) If this RFA is amended, all terms and conditions that are not amended remain unchanged. Applicants shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(2) As of November 1, 2005, the preferred method of distribution of USAID assistance solicitations (*i.e.*, RFAs and Annual program Statements [APSs]) and amendments to such solicitations is electronically via http://www.grants.gov ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. Any future amendments to this RFA 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 RFA 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 this RFA 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) assistance solicitations, alerts will be received.

(c) *Submission, Modification, Revision, and Withdrawal of Concept Papers and Applications*.

(1) All applicants must have a DUNS number and must be registered in the U.S. Government's System for Award Management (SAM) prior to submission of a concept paper. USAID cannot fund organizations that do not comply. A DUNS number may be obtained at http://fedgov.dnb.com/webform, and is required for registration in SAM. SAM registration may be done on-line at https://www.sam.gov/portal/public/SAM/.

(2) Concept papers and concept paper modifications must comply with Section IV.B below.

(3) Concept papers and concept paper modifications must be submitted electronically only to the e-mail address noted in Section VII of this RFA. Concept papers must be submitted not later than the date and time specified in the cover letter of this RFA.

(4) Applications, application modifications, and/or application revisions must comply with Section IV.C below.

(5) Applications, application modifications, and application revisions must be submitted electronically to the e-mail address noted in Section VII of this RFA, and may also (but is not required to) be submitted through www.grants.gov. Applications and application revisions must be submitted not later than the date and time specified in the Agreement Officer's request for same. An applicant must first register on-line with www.grants.gov, and should allow sufficient time to do so. If the applicant has difficulty registering, the applicant should contact the www.grants.gov Help Desk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance.

(6) Concept papers, concept paper modifications, applications, application modifications, and application revisions must include a cover letter (not to exceed one page) which, at a minimum, includes: (A) the RFA number; (B) the name, address, and telephone and facsimile numbers of the applicant; and (C) names, titles, and

telephone and facsimile numbers (and e-mail addresses if available) of persons authorized to negotiate and sign on the applicant's behalf. The cover letter will not count against any page limits specified in Sections IV.B or IV.C below.

(7) Concept papers, concept paper modifications, applications, application modifications, and application revisions in response to this RFA must be in English or with accompanying English translations, and in U.S. dollars.

(8) Applicants may submit concept papers at any time before the RFA closing date and time for concept papers, and may submit concept paper modifications in response to an RFA amendment, or made to correct a mistake at any time before USAID completes its review of concept papers.

(9) Applicants may not submit, and USAID will not request or consider, concept paper revisions.

(10) Applicants may submit applications at any time before the RFA closing date and time for applications, and may submit application modifications in response to an RFA amendment, or to correct a mistake at any time before award.

(11) Applicants may submit application revisions only if requested or allowed by the Agreement Officer.

(12) Concept papers may be withdrawn by written notice received at any time before submission of an application. Applications may be withdrawn by written notice received at any time before award. Concept papers and applications may be withdrawn in person by an applicant or an authorized representative, if the representative's identity is made known and the representative signs a receipt for the concept paper or application. Withdrawals are effective upon receipt of notice by the Agreement Officer.

(d) *Late Concept Papers, Concept Paper Modifications, Applications, Application Modifications, and Application Revisions*.

(1) Applicants are responsible for submitting concept paper and concept paper modifications, as well as applications and any application modifications or application revisions, so as to reach the Government office designated in this RFA by the specified dates and times. If no time is specified, the time for receipt is 4:00 p.m.

(A) Any concept paper or application received at the office designated in the cover letter of this RFA after the exact date and time specified for receipt thereof is “late” and will not be considered unless: (A) it is received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of concept papers or applications; and (B) either: (i) the Agreement Officer determines that accepting the late concept paper would not unduly delay the completion of concept paper reviews; or (ii) the late application is received before award is made and the Agreement Officer determines that accepting the late application would not unduly delay the award(s).

(B) Any concept paper modification or application modification is subject to the same conditions as described in paragraph (d)(1)(A) above, except that it will be considered "late" if it is received after the dates and times specified in paragraph (c)(5) above.

(C) Any application revision is also subject to the same conditions as described in paragraph (d)(1)(A) above, except that it will be considered "late" if it are received after the date and time specified in the Agreement Officer's request for the application revision.

(2) Notwithstanding paragraph (d)(1) above, a late concept paper, concept paper modification, application, application modification, or application revision of an otherwise successful concept paper or application that makes its terms more favorable to USAID will be considered at any time it is received and may be accepted.

(3) If an emergency or unanticipated event interrupts normal Government processes so that concept papers or applications cannot be received at the office designated for receipt thereof by the exact time specified in cover letter of this RFA, and urgent Government requirements preclude amendment of the RFA, the time specified for receipt of concept papers or applications will be deemed to be extended to the same time of day specified in the cover letter of this RFA on the first work-day on which normal Government processes resume.

(e) Concept Paper and *Application Expiration Dates*.

Concept papers, concept paper modifications, applications, application modifications, and application revisions in response to this RFA will be valid for 60 days unless a different period is proposed by the applicant.

(f) *Restriction on Disclosure and Use of Data*.

(1) Applicants that include in their concept papers or applications data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall:

(A) Mark the title page with the following legend:

> This concept paper or application includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed—in whole or in part—for any purpose other than to evaluate this concept paper or application. If, however, a grant or

cooperative agreement is awarded to this applicant as a result of—or in connection with—the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [*insert numbers or other identification of sheets*];

and

(B) Mark each page containing restricted data with the following legend:

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

(2) Applicants are advised that it is anticipated that the successful technical application, application modification, and/or application revision will likely become the Program Description of the grants(s) or cooperative agreement(s) awarded as a result of this RFA. Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files. As a general rule, information will be disclosed except:

(A) Information submitted in response to this RFA, prior to award of the grant or cooperative agreement, or modifications or revisions thereto.

(B) Information properly classified or administratively controlled by USAID.

(C) Information specifically exempted from disclosure under the Freedom of Information Act.

(3) Upon award of the grant(s) or cooperative agreement(s) resulting from this RFA, USAID will disclose, use, or duplicate any information submitted in response to this RFA to the extent provided in the award, as described in Section VI.A of this RFA, and as required by the Freedom of Information Act.

(g) *Grant or Cooperative Agreement Award*.

USAID intends to award a grant(s) or cooperative agreement(s) resulting from this RFA to the responsible applicant(s) whose application(s), application modification(s), and/or application revision(s) is (are) responsive to this RFA and represents the greatest value after evaluation in accordance with the evaluation criteria in Section V.B of this RFA. USAID may reject any or all concept papers and applications and may accept more than one application if such action is in USAID's interest. USAID may waive informalities and minor irregularities in concept papers and applications received. Award is expected to be made between July and September 2013.

(h) *Responsiveness to RFA and False Statements*.

The applicant shall follow the instructions contained herein and supply all information as required. Failure to furnish all information requested, or to submit a concept paper or application directly responsive to the terms, conditions, specifications, and provisions of this RFA may disqualify a concept paper or application. Applicants must set forth full, accurate and complete information as required by this RFA. The penalty for making false statements to the Government is prescribed in 18 U.S.C. 1001.

(i) *Pre-Award Audits/Surveys and Discussions*.

After the evaluation of applications, USAID reserves the right to perform a pre-award audit/survey which may include, but is not limited to: (1) interviews with individuals to establish their ability to perform award duties under project conditions; (2) a review of the applicant's financial condition, business and personnel policies and procedures, etc.; and (3) site visits to the applicant's institution. However, it must be understood that USAID undertakes no obligation to perform any of the foregoing elements. Accordingly, applicants should submit their best and most complete application initially.

(j) *Interviews/Discussions/Oral Presentations in Washington*.

While it is not anticipated, USAID nevertheless reserves the right to request the applicant and the applicant's key personnel to travel to Washington, DC for interviews, discussions, and/or oral presentations. USAID will not pay any travel costs associated therewith.

(k) *Submission of Questions and Explanation to Prospective Applicants*.

(1) Questions concerning this RFA must be received no later than the date and time indicated in the cover letter of this RFA**.** Following this date, the questions received by that date (without attribution to the organization) and answers will be posted as an amendment to this RFA if necessary in submitting concept papers and/or 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 only to the e-mail address specified in Section VII of this RFA. Oral explanations or instructions given before award(s) is/are made will not be binding.

(2) In order to maintain the integrity of the competitive process, USAID Missions will be unable to advise or provide information to potential applicants that would be used in preparation of the application. Therefore, applicants are advised not to contact USAID Missions regarding this RFA. Information on Mission strategies and programs can be accessed from Mission websites (http://transition.usaid.gov/missions/).

(l) *Unnecessarily Elaborate Concept Papers and Applications*.

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective 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.

(m) *Inconsistencies between this RFA and 22 CFR 226/ADS 300*.

In case of any disagreements or discrepancies between the terms and conditions of this RFA and the regulations cited in Section I.A.2 of this RFA, the former shall prevail.

(n) *Failure to Conform*.

The USAID evaluation committee may consider any failure to conform to these instructions and rules, and any attempt to evade these specifications and rules on the basis of technicalities, as indications of the kind of behavior that it may expect from the applicant during award performance/implementation. The committee will take this into account when making its evaluation. If an applicant does not understand these instructions, it should follow the instructions in paragraph (k) above.

(o) *USAID Obligation*.

USAID is not obligated to make an award or pay for any costs incurred by the applicant in preparation and submission of an application in response hereto.

(p) *Authority to Commit USAID*.

The Agreement Officer is the only individual who may legally commit USAID to the expenditure of public funds. No costs allocable to the proposed award(s) will be reimbursed by USAID before receipt of either a fully executed grant or cooperative agreement, or a specific written authorization from the Agreement Officer.

(q) *Pre-Award Costs*.

USAID will not reimburse any applicant for pre-award costs unless specifically authorized by the Agreement Officer, who may, at his/her sole discretion, authorize the selected applicant, at its own risk, to begin program implementation and incur costs as of a specified date, prior to a signed award, with no commitment to reimburse costs in the event that the award was not subsequently signed.

IV.B. CONCEPT PAPER INSTRUCTIONS

IV.B.1. General

Applicants are encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (http://pdf.usaid.gov/pdf_docs/pdabr702.pdf), which may prove helpful in preparing concept papers and applications. All submissions should be completed in accordance with the format detailed in this RFA and must adhere to the following: Written in English and in 12-point Times New Roman font, including all text in tables or charts; Narratives should be prepared in Microsoft Word with print areas set to 8.5 x 11 inch, letter-sized paper and one-inch margins, left justification and a footer on each page including page numbers, date of submission and applicant name; Spreadsheets should be prepared in Microsoft Excel, with print areas set to 8.5 x 11 inch, letter-sized paper; Official (signed) documents, memoranda and certifications may be submitted as Adobe PDF files; Faxed applications and hard copies are not acceptable.

IV.B.2. Content of Concept Paper (5 pages maximum)

Concept papers should not exceed five (5) pages, excluding the cover letter described in Section IV.A(c)(6) of this RFA. Concept papers that exceed this limit may be rejected without review. In addition to the five-page narrative, applicants should submit a one-page budget summary, as described below.

Applicants should also submit the following information, which will not count against the page limit: a map of the proposed target area(s) (required as part of concept paper submission); any preliminary sketches (maximum of 5 pages) of housing designs being considered (if available); any relevant documentation illustrating land rights/authorizations already obtained by the applicant or its partners (if available).

USAID understands that the information in the concept papers will be preliminary and may be revised or updated in the application (if requested).

Concept papers should include organizational information, and preliminary summary of technical and budget information, as follows:

1. Cover Letter

    a. RFA number;
    b. Name, address, telephone, and facsimile numbers of organization
    c. Type of organization (e.g., U.S. NGO, Non-U.S.NGO, for-profit or non-profit, PVO, PIO, whether local, U.S.-based or international);

d. Contact information for authorized representative of the applicant organization (name , title, telephone, facsimile, and e-mail of persons authorized to negotiate and sign on the applicant's behalf);

2. Concept Paper (5 pages maximum)

a. Background and Context: Describe the current situation regarding the shelter needs of earthquake-affected communities and the state of current work being done.
b. Program Summary: Summarize the proposed program methodology. Information to include, but not be limited to:
    i. Methodology. A methodology that demonstrates how the applicant will implement the program and achieve the objectives stated in Section I of this RFA above.
    ii. Demographic Composition of Target Populations and Criteria for Selection. Describe the selection criteria utilized in identifying the site and intended beneficiaries. If the program will only affect a limited number of residents on the identified site, provide criteria for selection of beneficiaries. Provide basic demographic information, including disaggregation of current type of non-durable housing unit currently being used by earthquake-affected beneficiary families on underutilized public and private lands, estimated number of GOH/IOM-designated IDPs, percentage of total target population that is comprised of IDP households, description of living conditions in which targeted populations currently reside, and a description/estimate of investments made by the target population in the communities in which they currently reside. Also describe the current relationship between the applicant and the target community.
    iii. Innovation and Replicability of Proposed Model. Briefly explain how the proposed methodology is unique/innovative and describe options for replicability.
    iv. Proposed Financial Model. Provide a brief breakdown of additional funding (private, other donor, or beneficiary contribution) planned and expected to achieve program objectives.
    v. Siting of Housing for Intended Beneficiaries. Provide basic information on the siting including considerations regarding potential environmental impact and mitigation efforts for the proposed site.
c. Plan to Secure Right to Work on Settlement Site. Provide details on applicant's plan for securing land title and authorizations to work on land within six months of project start. If available, attach any relevant documentation illustrating an rights/authorizations already obtained by the applicant or its partners (which will not count against the 5-page limit)

d. Community Involvement. Identify areas for community involvement throughout the concept paper and demonstrate planning to mobilize communities to participate in achieving program objectives.
e. Institutional Capacity. Demonstrate the organization's capability to operate within the environment in which the program will be executed and the applicant's experience in mobilizing communities to participate in achieving program objectives. Provide details on successful past/present programs that the organization designed and implemented.

3. Cost Information

Provide the estimated cost for the entire program. Include management, monitoring and other direct costs, as well as indirect costs, in the budget.

Within the budget, clearly separate direct construction costs from other costs.

4. Map

Submit a map of the proposed target area(s).

IV. C. TECHNICAL APPLICATION INSTRUCTIONS

IV.C.1. General

Applicants are encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (http://pdf.usaid.gov/pdf_docs/pdabr702.pdf), which may prove helpful in preparing concept papers and applications. All submissions should be completed in accordance with the format detailed in this RFA and must adhere to the following: Written in English and in 12-point Times New Roman font, including all text in tables or charts; Narratives should be prepared in Microsoft Word with print areas set to 8.5 x 11 inch, letter-sized paper and one-inch margins, left justification and a footer on each page including page numbers, date of submission and applicant name; Spreadsheets should be prepared in Microsoft Excel, with print areas set to 8.5 x 11 inch, letter-sized paper; Official (signed) documents, memoranda and certifications may be submitted as Adobe PDF files; Faxed applications and hard copies are not acceptable.

The technical application must be in a separate volume (file) from the cost/management application described in Section IV.D below and should not make reference to cost information except as may be explicitly indicated below.

It is anticipated that the successful application(s) (as may be modified or revised) will become the Program Descriptions for the award(s) resulting from this RFA. Thus, applications submitted in response to this RFA should, in addition to being responsive hereto, be written in the active voice and in results-oriented terms in order to address what is proposed to be done, why it is proposed to be done, how it is proposed to be done, who will do it, where it will be done, when it will be done, and the anticipated results and impact.

IV.C.2. Content of Full Applications (25 pages maximum)

The technical application will be the critical item of consideration in selection of an applicant for an award. The information provided in the technical application must be specific, complete, and presented concisely. The technical application must demonstrate how it contributes to achieving the program's goals and objectives, including specific results anticipated. The technical application must have a definitive strategy and plan, and must set forth in detail the applicant's approach, methodology, procedures, and techniques for the design, management, implementation, and monitoring of the proposed program. The application must also demonstrate the applicant's capabilities and expertise to successfully implement, manage, and monitor the proposed program.

The application must define the technical resources, capabilities, and expertise of the applicant's organization and other institution(s) involved, and of the professional personnel proposed. The information presenting the capabilities of the implementing organization(s) and of the individuals to be assigned should spell-out clearly the pertinent work experience and accomplishments in developing and conducting activities of the type being proposed, as well as the specialized skills, professional competence, academic training, and relevant achievements of the personnel.

It is important that the technical application furnish verifiable, objective supporting evidence of successful program management, implementation, and monitoring. The technical application should be specific, detailed, and include appropriate benchmarks or milestones.

The technical application shall be divided into identified sections corresponding to, and following the order of, the sections described below which, in turn, correspond to the evaluation criteria set forth in Section V.B.2 of this RFA. The weightings in the evaluation criteria indicate the relative order of importance of the evaluation criteria, so that applicants will know which areas require emphasis in the preparation of the technical application. This requirement is not intended to prohibit or discourage applicants from submitting technical data in addition to what is required herein and by the evaluation criteria. Applicants are advised that lack of completeness or superficiality of the application may constitute grounds for excluding it from consideration.

The technical application may not exceed 25 pages, excluding the cover letter described in Section IV.A(c)(6) of this RFA, table of contents, attachments, annexes, appendices, and the like. Unless otherwise indicated, a page in the technical application that contains a table, chart, graph, etc. will be counted as a page within the page limitation. Information that exceeds the page limitation will not be furnished to the USAID technical evaluation committee(s).

Technical applications should include the following:

1. Program Strategy and Design

Applicants shall describe an overall vision and approach for accomplishing the "proof of concept". Applicants must demonstrate that they have the necessary technical expertise to implement and monitor the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATION OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program, as described in Section I of this RFA, by providing the following information:

(a) Background and Context

With reference to Section I.B.1 of this RFA, the application must include a summary of current trends in providing socially and financially sustainable housing options for IDP populations. Applicants must also demonstrate an understanding of: (1) recent developments in IDP populations using their own resources for the improvement of their situation; and (2) constraints to IDP relocation presented by the current state of the housing market in the Port-au-Prince metropolitan area. The application must demonstrate that the assumptions and/or circumstances underlying the concept paper have not changed significantly.

The application should explain how the proposed program will capitalize on the lessons learned from relevant past and current IDP relocation programs, and how it will address emerging issues in IDP relocation, availability of low-income housing, and other housing-related issues over the life of the award.

The application should demonstrate an understanding of the U.S. Government's strategy for development in Haiti (see http://haiti.usaid.gov/about/our_strategy.php), and describe how the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATION OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program will contribute to the objectives of this strategy. The application should also articulate a vision for the role that the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATION OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program can play in demonstrating an innovative, effective model for sustainable low-income housing solutions in Haiti and other low-income contexts.

(b) Demographic Composition of Target Population and Criteria for Selection.

With reference to selection criteria described in Section V.B.2 of this RFA, applicants should include information related to the demographic composition of the target population. Such information should include, but is not limited to: age, gender, number of IDPs, percentage of target population that is officially designated as IDPs, description of camps in which these IDPs currently reside, and type of current shelter (camp, temporary shelter, tents, permanent shelter), and educational background of beneficiaries. Information provided should also include an initial survey of the economic profiles of the target population. The economic profiles should include type and source of income, description/estimate of investments made by the target population in the communities in which they currently reside, as well as an initial baseline of monthly expenditures.

Applications should also describe in this section how the target population was selected, and any selection criteria for determining beneficiaries of the program if the program is unable to provide housing solutions for the entire camp community in question.

(c) Program Design and Description

With reference to Section I.B.2 of this RFA, the applicant should describe how it would implement an innovative, replicable approach for providing financially and socially sustainable lower-income housing for earthquake-affected and IDP populations in the complex urban environment of Port-au-Prince. The application should provide a concise description of the applicant's program, program methodology, and expected results, which includes a description of how such a model could be replicated in other areas based on the program's methodology.

The section should include a focus on the viability of program's proposed financial model, and a discussion of its potential for replicability. If applicable, the applicant should discuss how they intend to make use of beneficiary contributions and/or leveraging of private financing or donor funds.

The application will outline the organization's envisioned implementation plan and timeline for achieving the transformation of the identified area(s) into a financially and socially sustainable community for earthquake-affected populations.

The application should clearly demonstrate how program activities will be relevant to the goal of post-earthquake stabilization in Haiti. Applicants are encouraged to identify challenges for sustainability and replicability of the proposed model, both within and beyond the manageable interest of the program, and explain how the proposed program will address these challenges. A strategy to document program impact, including collection of baseline data and unique factors that allow for program success (or otherwise), should also be part of the application.

(d) Cross-Cutting Issues

The application should include a discussion of the cross-cutting issues described in Section I.B.4 of this RFA by providing the information set forth below. As appropriate, the discussion should refer to how the issue was considered and addressed in the information provided under the "Program Design and Description" and the "Program Implementation Plan" sections of the application, as described above and below, respectively.

(i) Gender

With reference to Section I.B.4(a) of this RFA, USAID policy requires that gender issues be addressed, as appropriate, in all USAID-funded activities. USAID requires that gender differences and inequalities be integrated into the project design and into the criteria used to evaluate applications (see Section V.B.2 of this RFA).

Gender analysis is a tool for examining the differences between the roles that women and men play in communities and societies, the different levels of power they hold, their differing needs, constraints and opportunities, and the impact of these differences on their lives. Gender analysis should identify root causes of existing gender inequalities or obstacles to female empowerment in that context, so that they may be addressed in the project design and opportunities may be sought to promote women's leadership and participation. Because males and females are not homogenous groups, gender analysis should also, to the extent possible, be disaggregated by income, region, caste, race, ethnicity, disability, and other relevant social characteristics, and explicitly recognize the specific needs of young girls and boys, adolescent girls and boys, adult women and men, and older women and men. Gender analysis addresses the following two issues: (A) how the different roles and status of women and men within the community, political sphere, workplace, and household (*e.g.*, roles in decision-making and different access to and control over resources and services) will affect the work to be undertaken; and (B) how the anticipated results of the work affect women and men differently. Gender integration entails the identification and subsequent treatment of gender differences and inequalities during project design, implementation, monitoring, and evaluation.

The application must present a gender analysis which discusses important gender issues relevant to the provision of durable IDP housing solutions (including the requisite financial obligations), and must explain how gender considerations have been integrated into the design, and will be integrated into the implementation, management, and monitoring and evaluation of the overall program and each specific activity as appropriate. The gender analysis must demonstrate how the proposed program will contribute to gender equality, and should clearly show how the program will develop knowledge, recommendations, tools, and strategies that recognize and account for the needs and multi-dimensional roles of both women and men in developing socially and financially sustainable housing solutions for IDP populations in post-crisis countries. The analysis should include a discussion of the potential impacts that the new intervention and methodology can have on the well-being of women and children.

(ii) Environmental

Based on the locations selected for implementation of the program, applications must describe how the environmental issues discussed in Section I.B.4(b) of this RFA have been and/or will be addressed (or why certain issues are not addressed) and at which scales. With reference to Section III.F of this RFA, USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed program will require environmental management expertise. The application should, therefore, describe the applicant's approach to achieving environmental compliance and management**,** including but not limited to the following information:

- The applicant's analysis and identification of the potential environmental impacts of the proposed program.

- The applicant's approach to and plan for developing and implementing either an Environmental Mitigation and Monitoring Plan (EMMP) in the case of a Negative Determination with Conditions, or an Environmental Assessment if a Positive Determination is the result of the IEE.

- The applicant's approach to providing necessary environmental management expertise, including examples of prior experience in environmental management of similar activities.

2. Program Implementation Plan

(a) Community Engagement

Applicants should provide sufficient detail on the method by, and degree to which, the target population will be mobilized to contribute toward the achievement of the program objective. Beneficiary participation should be identified throughout the proposal, as appropriate, to demonstrate the extent of beneficiary participation and applicants' relationships with the community in question. USAID envisions extensive community mobilization and beneficiary participation in this program.

(b) Plan to Secure Right to Work on the Site

A critical factor for determining the viability of the proposed methodology is the applicant's ability to obtain all required authorities to work on the proposed land identified within six months. As such, applicants should provide supporting documentation that explains work already undertaken to receive legal authority or present a reasonable process for gaining authorization within six months. For public land, the applicant needs to demonstrate work toward Ministry of Finance (MoF) authorization to initiate construction activities on the identified land. For private land, the applicant needs to present evidence that 1) a legitimate landowner has been identified and can provide official legal documentation proving ownership, and, 2) that this landowner is interested in making land available for the project.

(c) Innovation and Replicability of Proposed Model

At the core of the program is the validation of a methodology ("proof of concept"). As such, the application should outline a strategy for dissemination of knowledge in a manner that leads to engagement of, and influence on, the USAID policy and program teams, host-country policy-makers and practitioners, as well as other development and donor organizations. The application should describe how the proposed program will contribute, directly or indirectly, to advancing the USG strategy in Haiti, including how the proposed intervention could contribute to resolving the continued existence of IDP camps, as well as the lack of safe, affordable low-income housing for a significant portion of the Port-au-Prince population.

(d) Overview of Planned Technical Approach to Construction Design and Management

Provide a brief narrative describing the approach to be used to design and construct safe, culturally appropriate and cost-effective housing in the target area for the intended beneficiaries. This narrative should address plans for developing high quality, code-compliant designs (see Section **VI.C.** below for detailed code requirements and technical specifications) and plans for implementing and overseeing the construction program. Discuss whether these plans will be developed by project personnel, non-project personnel within the organization, and/or through sub-contracts or services agreements with outside individual/entities. The narrative should explain how drawings will be checked by a certified, US-licensed engineering firm and should include a description of whether activities will include capacity building for local tradesmen.

(e) Disaster Risk Reduction

The applicant should include a disaster risk reduction plan which outlines how the program mitigates disaster risk at both the neighborhood and household levels. The disaster risk mitigation plan should be ground-truthed with camp residents and members of the surrounding community.

3. Institutional Capabilities

With reference to Section I.C of this RFA, the application must describe the organizational structure and approach by which the PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATION OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program will be managed, and must demonstrate that the applicant has the necessary expertise to implement, manage, and monitor the program. The proposed management approach should be consistent with the awardee responsibilities described in Section I.C of this RFA, and must include, but is not limited to, a discussion of the following:

(a) Management Plan

With reference to Section I.C.1 of this RFA, the application must:

- Describe the proposed program management structure. This should include the roles and responsibilities of proposed staff, proposed lines of responsibility, authority and communication, and procedures to ensure productivity as well as cost and quality control;

- Demonstrate the capacity of the applicant to manage a multi-faceted, complex program in delivering a "proof of concept" to effect IDP integration and housing policy in Haiti. This will include a demonstration of the organization's ability to conduct outreach in an effective manner;

- Include, in an annex to the technical application, which will not count against the page limit, a work-plan and timeline covering the period from when the cooperative agreement award is made until post-award submission of the annual work-plan for the first year of the award (see Section VI.C.1 of this RFA). The work-plan and timeline in the application shall describe what tasks will be undertaken during that period, who will perform them, and when they will occur.

(b) Staffing Plan

With reference to Section I.C of this RFA, the application must describe in detail, the specific staffing plan which the applicant proposes to ensure efficient use of resources and strong and effective management, administration, technical implementation/performance, and clerical support. The overall discussion must specify the nature of organizational linkages between the Recipient and any sub-recipients/teaming partners. To the extent that the applicant anticipates that it will utilize sub-recipients/contractors, the application should describe which organizations are anticipated to perform which tasks/functions and include letters of commitment from such sub-recipients and/or contractors in an annex to the technical application which will not count against the page limit. (Note: USAID does not require or seek commitments from proposed sub-recipients and/or contractors that are exclusive to the applicant, *i.e.*, organizations may be proposed as sub-recipients and/or contractors in more than one application.) This includes detailed identification of the roles and responsibilities of each entity, their relationships between each other, lines of authority and accountability, and patterns for utilizing and sharing resources. Of particular importance is the need to clarify the types of administrative and management adjustments which will be made to ensure that incompatible bureaucratic and scheduling requirements of participating institutions will not limit the Recipient's (or any sub-recipients'/contractors') ability to respond to program needs on a timely basis.

The proposed staffing plan should include specific position titles and level-of-effort (LOE) for each position. The staffing plan should relate directly to the program strategy and design and the program implementation plan, and include anticipated short-term technical assistance needs, home and field offices, etc., as deemed important by the applicant. The application should specify the nature of supervisory/reporting relationships between members of the Recipient's team, and between the Recipient and any sub-recipients/contractors. If the applicant proposes the use of sub-recipient/contractor personnel in any positions, the proposal shall explain how potential conflicts between on-the-job relationships and employer-employee relationships will be resolved.

The staffing plan should include short job descriptions for each position and short biographical summaries for each individual proposed to fill key personnel positions (if known). Detailed CVs for proposed key personnel staff should be provided in an annex that will not count against the page limit. (The biographical summaries will count toward the page limit while the CVs will not.) The biographical summaries and CVs must demonstrate the capacity of the proposed individuals to perform the described duties provided by the applicant for each proposed key personnel position. The application shall also describe how possible attrition of staffing (in particular, replacement of key personnel) will be addressed.

With reference to Sections I.C.3 and II.B.2 (2) of this RFA, the application shall include, and propose a candidate for, the following key personnel positions, among other needed staff. As stated in section I.C.3, applicant may suggest the combination of two roles into one person. In such a case, a justification must be provided that demonstrates the capacity of the identified individual to meet the qualification of both positions. (Note: USAID does not require exclusivity in the candidate for the key personnel positions, *i.e*., the same candidate may be proposed in more than one application.)

1. Program Director: Describe his/her roles and responsibilities for program leadership and implementation. Indicate the proposed LOE, describe his/her various qualifications for the designated position, and demonstrate that s/he has the requisite capacity to manage the design and implementation of a "proof of concept" program to provide socially and financially sustainable and replicable housing solutions for targeted IDP populations. The proposed Director's CV, and a letter of commitment from the proposed Program Director, must be included in an annex to the technical application which will not count toward the page limit.
2. Lead Construction Manager: Describe his/her roles and responsibilities for review and approval of housing construction specifications and for providing monitoring and oversight of engineering and construction management activities related to the construction components of the program. Indicate the proposed LOE, describe his/her various qualifications for the designated position, and demonstrate that s/he has the requisite capacity to manage the design and construction of housing units in line with the proposed program. The proposed Lead Construction Manager's CV, and a letter of commitment from the proposed Lead Construction Manager, must be included in an annex to the technical application which will not count toward the page limit.
3. Lead Community Liaison Officer:, Describe his/her roles and responsibilities for developing relationships, mobilizing community contributions, and assisting in improving outreach to the identified community. Indicate the proposed LOE, describe his/her various qualifications for the designated position, and demonstrate that s/he has the requisite capacity to mobilize communities to participate in, and contribute toward, achievement of the program objectives. The proposed Lead Community Liaison Officer's CV, and a letter of commitment from the proposed Lead Community Liaison Officer, must be included in an annex to the technical application which will not count toward the page limit.
4. Environmental Specialist: Describe his/her roles and responsibilities for providing technical assistance during the construction process to ensure environmental sustainability, as well as their role in the preparation and oversight of all required

environmental documentation (Environmental Assessment and/or Environmental Mitigation Plan and Report (EMPR). Indicate the proposed LOE, describe his/her various qualifications for the designated position, and demonstrate that s/he has the requisite capacity to prepare the required environmental documentation and provide the monitoring of required environmental mitigation measures as per the EA/EMPR. The proposed Environmental Specialist's CV, and a letter of commitment from the proposed Environmental Specialist, must be included in an annex to the technical application which will not count toward the page limit.

If the applicant proposes combination of any positions above, this should clearly be identified in the full application and a justification provided for the combination of the positions.

(c) Monitoring and Evaluation (M&E) Plan

With reference to Section I.C.4 of this RFA, an M&E Plan does not need to be submitted with the application but, as indicated in Sections VI.C.2 and II.B.2, an M&E Plan must be submitted by the recipient and approved by USAID after the award resulting from this RFA has been made. The application should describe how the M&E Plan will be used to integrate planning, monitoring, reporting, outreach, and synthesis, and how it will result in ongoing improvement of activities, as well as evaluation for lessons learned and reporting of results. Methods for demonstrating, monitoring, and evaluating progress and impact assessment should be clearly described. The application should also describe how the proposed program will: (1) advance USAID-supported goals and strategic objectives (*e.g*., improving post-earthquake stabilization; (2) demonstrate replicability and/or achieve social and financial sustainability; and (3) address the specific needs of men/women in IDP camps with the intention to remain on the land.

4. Past Performance

Past performance is the degree to which the applicant completed related work successfully, satisfied its customers/partners/sponsors under past agreements, and complied with relevant laws, regulations, and terms and conditions of its past awards. Past performance will also take into account applicant's experience with community mobilization projects and experience with housing projects.

Past performance information shall be provided in an annex to the technical application which will not count against the page limit. This annex shall include a description of past or current work undertaken by the applicant which is relevant to the proposed model.

The applicant and proposed major sub-recipients and/or contractors (*i.e*., sub-recipients and contractors whose proposed participation in this program is 25% or more of the total budget) must provide the past performance work descriptions and references for up to five (5) programs currently underway or completed within the past three (3) years. The applicant may use the past performance references to demonstrate capacity for creativity and leadership, to deliver high-impact results. The information for each program should not exceed one page, and should include: (a) the name of the client/donor; (b) the project/activity name; (c) a brief project/activity description and the results achieved; (d) the period of performance; (e) the place of performance; (f) the award amount; and (g) the name and telephone number (and e-mail address if known) of at least two contacts at the client/donor for which the service was performed/program was conducted and for relevant partners involved in the activity (if these people are no longer at the original organization, please provide their current contact information). It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

If problems were encountered on any of the listed awards, a short explanation and the description of the corrective action taken may be provided. General information on past performance should not be provided, but any quality awards or certificates that indicate exceptional capacity to implement the proposed project may be described.

As part of this review, USAID may contact some/all of the applicant's past or current customers and partners. USAID may use past performance information obtained from other than the sources identified in the application. USAID shall determine the relevance of similar past performance information. Past performance information will be used for both the responsibility determination (see Section III.E of this RFA) and the selection decision (see Section V of this RFA).

IV.D. COST/MANAGEMENT APPLICATION INSTRUCTIONS

The cost/management must be submitted in a separate volume (file) than the technical application described in Section IV.C above. All cost/management applications should be completed in accordance with the format detailed in this RFA and must adhere to the following: Written in English and in 12-point Times New Roman font, including all text in tables or charts; Narratives should be prepared in Microsoft Word with print areas set to 8.5 x 11 inch, letter-sized paper and one-inch margins, left justification and a footer on each page including page numbers, date of submission and applicant name; Spreadsheets should be prepared in Microsoft Excel, with print areas set to 8.5 x 11 inch, letter-sized paper; Official (signed) documents, memoranda and certifications may be submitted as Adobe PDF files; Faxed applications and hard copies are not acceptable.

The cost/management application will be evaluated in accordance with Section V.C of this RFA.

The cost/management application must include the following.

IV.D.1. Application for Federal Assistance

The cost/management application must include the applicable forms from the Standard Form 424 (SF-424) series, which includes the:

(a) SF-424 Application for Federal Assistance

(b) SF-424A Budget Information-Non-Construction Programs

(c) SF-424B Assurances for Non-Construction Programs

(d) SF-424C Budget Information for Construction Programs

(5) SF-424D Assurances for Construction Programs

These forms are found on www.grants.gov.

IV.D.2. USAID Certifications, Assurances, and Other Statements of Recipient

These are located on the USAID website (http://transition.usaid.gov/policy/ads/300/303mav.pdf) and must be signed and dated by the applicant.

IV.D.3. Budget

(a) Detailed Program Budget

Standard Form 424A and/or SF-425C should be supplemented by additional cost breakdowns/details, which provides a summary line item budget, and complete cost breakdowns in sufficient detail to permit cost analysis. The detailed project budget must set forth the basis for all project costs, including those which are proposed to be funded by USAID under the award(s) resulting from this RFA, those to be funded by non-USG cash or in-kind cost-sharing contributions, and those to be funded by any other USG contributions under arrangements other than award(s) resulting from this RFA (also see Section III.C of this RFA). The budget shall contain a separate column for each source of funds/contributions. It shall include whatever supporting schedules and narrative budget explanations as may be necessary to adequately support and/or explain proposed costs.

It is recognized that it may be difficult for the applicant to project actual needs and costs. Accordingly, estimates, based on assumptions, are acceptable. However, the applicant must indicate the basis of the estimate, and/or the assumptions on which the estimate is based. This information is required in order to permit USAID to determine whether estimated costs are fair and reasonable, necessary, allowable, allocable, and realistic, which, in turn, are a prerequisite for making an award. Please note that the award(s) resulting from this RFA will provide a great deal of flexibility to the Recipient to make budget adjustments during the award period without the need to obtain prior approval from the USAID Agreement Officer.

The detailed budget breakdown must provide the information described below. The detailed budget breakdown shall follow the budget format, including the major budget line items, set forth below, and shall be broken-down by year. The application shall include a subtotal for each budget line item.

(1) Direct Salaries and Wages

A detailed indication of level of effort, including the position titles, names of proposed individuals to fill each position (if known), number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total direct salaries and wages. Anticipated salary increases during the term of the award may be included, but the percentage of increase and the anticipated date(s) of increase must be specified. The level of effort and position titles must be consistent with the technical application.

(2) Fringe Benefits

(A) Fringe benefits, if not included in direct salaries and wages or indirect costs, shall be shown as a percentage of salaries, and shall indicate the individuals to whom the fringe benefit rate(s) apply, the salary of each individual, the total fringe benefit costs for each individual, and the total fringe benefits.

(B) Unless the negotiated indirect cost rate agreement (see paragraph [3] below) specifies the fringe benefit rate(s), the proposed rate(s) shall be supported by a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, retirement, workers' compensation, health and life insurance, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

(3) Indirect Costs (Overhead)

(A) Estimated indirect costs shall be in accordance with the USAID standard provisions for U.S. NGOs entitled "Negotiated Indirect Cost Rates - Predetermined," "Negotiated Indirect Cost Rates - Provisional (Nonprofits)," or "Negotiated Indirect Cost Rates - Provisional (For-Profits)," or the standard provisions for non-U.S. NGOs entitled "Indirect Costs – Negotiated Indirect Cost Rate Agreement (NICRA) or "Indirect Costs – Charged as a Fixed Amount (Nonprofit)," as applicable. Administrative cost recovery for Category 1 PIOs shall be at the standard administrative cost rate to which the USAID Delegated Cooperation Secretariat has agreed, unless otherwise indicated in the List of PIOs at http://transition.usaid.gov/policy/ads/300/308maa.pdf. A fair and reasonable amount for administrative cost recovery by Category 2 PIOs will be negotiated by the Agreement Officer.

(B) The budget shall be structured in such a way as to permit easy identification and application of home office/on-campus and off-site/off-campus rates, if applicable, the base to which the rate(s) is (are) applied, and the applicant's fiscal year (*e.g.*, October 1 through September 30).

(C) To substantiate the rate(s) and the base(s) of application, the applicant must submit a copy of its current negotiated indirect cost rate agreement (NICRA), signed by the cognizant U.S. Government audit agency. The applicant shall also provide the name and address of the cognizant U.S. Government audit agency, and the name and telephone number of the cognizant auditor, if other than USAID.

(D) If the applicant does not have a cognizant U.S. Government audit agency and/or NICRA, the applicant must submit sufficient information to allow USAID to determine the reasonableness of the rates without a full-scale pre-award survey/audit, *e.g.*, audited balance sheets and profit and loss statements for the last two complete years and the current year to date (or such lesser period of time if the applicant is a newly-formed organization). The profit and loss statements should include the total costs of goods and services sold, including a listing of the various indirect administrative costs, and be supplemented by information on the applicant's customary indirect cost allocation method, together with supporting computations of the basis for the indirect cost rates proposed (*e.g.*, a breakdown of labor bases and overhead pools, the method of determining the rate, annual financial statements, etc.).

(E) Unless the subject is addressed in the NICRA, the applicant must describe when the home office/on-campus rate *vs*. the off-site/off-campus rate is applied.

(F) If the applicant proposes to charge less than its full indirect cost rate to the award, or proposes not to charge indirect costs, the applicant will still incur indirect costs at the full rate. In such circumstances, the difference between the rate to be charged to the award and the applicant's full indirect cost rate must be reflected as a cost-sharing (matching) contribution.

(4) Consultants

The budget must specify the position title(s), name(s) of proposed individual(s) to fill the position(s), if known, number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total consultant costs. The level of effort and position titles must be consistent with the annex to the technical application.

(5) Travel, Transportation, and Per Diem

(A) For NGOs, estimated travel and transportation costs shall be in accordance with the USAID standard provisions entitled "Travel and International Air Transportation" and "Ocean Shipment of Goods." Estimated travel and transportation costs for PIOs shall be in accordance with the PIO's established policies.

(B) The budget shall specify, for each traveler, the itinerary (in terms of locations, and, if possible, dates), the estimated airfares, class of travel, any transportation (*e.g.*, excess baggage, unaccompanied baggage, household effects, privately-owned vehicle) costs (to include the weights, mode of transportation [air, vessel], and unit prices), and the subtotal of all travel and transportation costs.

(C) Estimated lodging and subsistence costs must be in accordance with the applicant's established policies and practices which are consistently applied (however, the U.S. Government's per diem rates shall be used as the test of reasonableness if the applicant does not have established policies and practices), and should specify, for each traveler and for each trip, the location(s), the number of days in each location, the daily rate for each location, and the total lodging and subsistence costs. The lodging and subsistence costs must be consistent with the travel itinerary and the level of effort.

(D) For miscellaneous travel expenses such as ground transportation/taxis, airport taxes/transfers, or in-country travel, the basis for the estimate must be indicated, rather than a lump-sum amount. For example, ground transportation/taxis might be $100, based on 2 round-trips @ $50; airport taxes/transfers might be $40, based on 2 round-trips @ $20; and in-country travel might be $500, based on 20 days @ $25.

(E) The budget must distinguish between domestic (U.S.) and international travel.

(F) The budget shall also include the total travel, transportation, and per diem costs.

(6) Overseas Allowances

Overseas allowances (excluding per diem and shipping/storage allowances, which shall be budgeted under "Travel, Transportation, and Per Diem," above) shall be in accordance with the applicant's established policies and practices which are consistently applied. The Standardized Regulations (Government Civilians, Foreign Areas) shall be used as a test of reasonableness for overseas allowances if the applicant does not have established policies and practices.

(7) Nonexpendable Equipment

The detailed budget breakdown for purchases of nonexpendable equipment and other capital expenditures shall include the types and quantities of equipment to be purchased, the unit prices, and the total costs.

(8) Training

Training costs must include a complete budget breakdown of all training-related costs, *e.g.*, number of participants, pre-departure medical exams, health and accident coverage, passports/visas, travel and per diem or maintenance costs, registration or tuition fees, books/training materials, etc.

(9) Construction Costs

A detailed breakdown and narrative explanation must be provided for estimated construction costs incurred directly by the recipient. Construction costs resulting from a sub-award or contract should be budgeted under the “Sub-Awards and Contracts” line item described below. For example, if the recipient plans to hire construction workers and pays them directly, those labor (and associated) costs should be included under this line item But if a construction contractor provides the labor of its own employees, those costs would be budgeted under the "Sub-Awards and Contracts" line item described below. Similarly, if the recipient purchases and pays for construction materials directly, the costs would be budgeted in this line item, but if the construction materials were provided by a construction contractor, those costs would be budgeted under the "Sub-Awards and Contracts" line item described below. As indicated in Section II.A of this RFA, the cost of construction activities at a single project site must be less than $500,000.[5]

(10) Other Direct Costs (ODCs)

ODCs include costs such as branding and marking, communications and postage, passports/visas, medical exams/inoculations (for international travel), insurance (extra insurance such as medical evacuation for international travel), expendable supplies and materials (as distinct from nonexpendable equipment), report preparation/reproduction, etc. Again, the basis for each estimate should be indicated. For example, communications costs might be $600, based on 12 months at $50. Report reproduction might be $40, based on 4 reports of 100 pages each @ $0.10 per page. Expendable supplies and materials must indicate the types of supplies, the quantity of each, the unit price for each, and total costs.

(11) Sub-Awards and Contracts

The applicant's budget shall include a lump-sum for each sub-award and contract, and identify the purpose of the sub-award/contract and the sub-recipient or contractor, if known. The lump-sum(s) must be consistent with the detailed sub-recipient/contractor budgets described in paragraph (b) below. The cost/management application must indicate whether the instrument will be a contract or sub-award, as the terms are defined in 22 CFR 226.2 (also see §___.210 of OMB Circular A-133). Contracts are subject to:

- U.S. NGOs: 22 CFR 226.40-49 and the USAID standard provision entitled "USAID Eligibility Rules for Goods and Services" (see Section III.D below).

- Non-U.S.NGOs: The USAID standard provisions entitled "Procurement Policies" and "USAID Eligibility Rules for Procurement of Commodities and Services (see Section III.D below).

[5] Under the award(s) resulting from this RFA, USAID's construction policy would limit the estimated cost of construction activities at a single project site to less than $500,000. A single project site is defined as, "a single undertaking of construction within a contiguous geographic location, including but not limited to, a road, a building, a wastewater treatment facility, a power plan a school, a clinic, etc.," but also includes contiguous multiples of the same." Therefore, the cost of construction activities at a single project site would include the cumulative cost of multiple housing units within a single project site. USAID will not automatically exclude concept papers that include $500,000 or more of construction in a single project site. If a proposed concept is deemed technically appropriate, USAID would consider requesting a waiver from this policy if the applicant submitting that concept paper isinvited to submit a full application, USAID may request additional information regarding a concept that would require a waiver to identify and evaluate the applicant's capability to monitor the design/construction for safety and quality and to address environmental impact issues.

- PIOs: The USAID standard provision entitled "Financial Management, Procurement, and Evaluation."

Sub-awards are subject to:

- U.S. NGOs: 22 CFR 226.5 and the USAID standard provision entitled "Applicability of 22 CFR Part 226."

- Non-U.S.NGOs: The standard provision entitled "Subawards."

- PIOs: N/A.

(b) Detailed Sub-Award/Contract Budgets

Following the applicant's detailed budget breakdown, detailed budget breakdowns for each sub-award and contract shall be presented. Sub-award/contract budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth in paragraph (a) above, for the full term of the sub-award/contract. Following the summary budget, a detailed budget breakdown for each year shall be presented in accordance with the instructions provided in paragraph (a) above for the applicant. Each page shall have the year and the sub-recipient's/contractor's name (if known) clearly marked, and be signed and dated by an authorized representative of the sub-recipient/contractor (if the sub-recipient/contractor is known).

IV.D.4. Evidence of Responsibility

Applicants that are NGOs or Category 2 PIOs (see List of PIOs at http://transition.usaid.gov/policy/ads/300/308maa.pdf) must submit sufficient evidence of responsibility for the USAID Agreement Officer to make an affirmative determination of responsibility, as described in Section III.E of this RFA. After award, the recipient is responsible for ensuring the responsibility of collaborating partners.

IV.D.5. Branding Strategy and Marking Plan (BS/MP)

Note: The following applies only to NGOs. It does not apply to PIOs.

The applicant is required to comply (and ensure compliance by partners) with USAID's branding and marking requirements set forth in 22 CFR 226.91 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title22/22cfr226_main_02.tpl) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 (http://transition.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf). Also see Section VI of the USAID Certifications, Assurances, and Other Statements of Recipient described in Section IV.D.2 above.

These regulations and provisions include the requirement for the apparently successful applicant to submit a Branding Strategy and Marking Plan (BS/MP) for pre-award review, negotiation, and approval by the Agreement Officer. Under these regulations and provisions, the BS/MP does not need to be submitted until the applicant is notified by the Agreement Officer that it is the apparently successful applicant, and is requested to submit the BS/MP by a time specified by the Agreement Officer. Thus, the initial cost/management application is not required to include a BS/MP.

Nevertheless, applicants are encouraged, but are not required, to submit their BS/MP with their initial cost/management applications, including any requested Presumptive Exceptions or Waivers. Applicants who choose not to include their BS/MP with their initial cost/management application will not be penalized during the evaluation process, but should be aware that, if the applicant is the 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, review, and, if necessary, negotiation of the applicant's BS/MP, with failure to submit or negotiate a BS/MP within the time specified by the Agreement Officer making the apparent successful applicant ineligible for award. Moreover, because USAID's branding and marking requirements have cost implications, such costs must be included in the detailed budget (see paragraph IV.D.3 above), even if the applicant does not submit its BS/MP with the initial cost/management application.

Failure to submit or negotiate a BS/MP within the time specified by the Agreement Officer will make the Apparent Successful Applicant ineligible for award.

The proposed Branding Strategy and Marking Plan (BS/MP) will not be evaluated competitively. The Agreement Officer shall review for adequacy the proposed BS/MP, and will negotiate, approve, and include the BS/MP in the award.

IV.D.6. Waivers from or Approvals under USAID Procurement Requirements

If the applicant foresees the need for waivers from, or approvals required under, USAID's source and supplier nationality requirements (see Section III.D of this RFA), the application should describe which goods and services need approval/waivers, and provide an explanation and justification for the same.

IV.D.7. 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. The survey form may be found at http://transition.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf.

SECTION V – APPLICATION REVIEW INFORMATION

V.A. SELECTION PROCESS

The PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATION OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program will support the implementation of an innovative, replicable model for providing financially and socially sustainable housing for IDP populations in the complex urban environment of Port-au-Prince. The decision on whether to invite an applicant to submit a full application, and the approval authority for the award(s) in support of the successful application(s) resulting from this RFA, rest with USAID's Office of Acquisition and Assistance (OAA). Award determinations are made by the Agreement Officer based on the outcome of a Technical Evaluation Committee's (TEC) and his/her review of each application.

V.A.1. Concept Papers

USAID requires applicants to submit a brief concept paper, prior to submitting a full application. Concept papers will be reviewed after all submissions are received by the deadline stated on page one of this RFA. The review process is "Go/No Go." Decision will be made based upon the factors set forth in Section V.B.1 below.

If all factors are satisfactorily met, USAID will then consider the following factors: the current and planned level of U.S. Government support for the program, the availability of resources, and other current and projected emergency IDP and Housing needs.

If applicants successfully meet the five conditions listed in Section V.B.1 and the other factors are not a constraint, applicants will then be requested to submit full applications for the proposed program(s) (or portion(s) thereof).

The request for a full application is not a commitment by USAID to fund the proposed program. The decision to submit a full application is at the applicant's sole discretion.

V.A.2. Technical Applications

Technical applications will be evaluated after all submissions are received by the deadline established in the invitation from USAID to the applicant to submit a full application. Applications will be evaluated in accordance with the criteria set forth in Section V.B.2, below. Those criteria are tailored to the requirements of this particular RFA. Applicants should note that these criteria serve: (a) to identify the significant matters upon which an applicant will be evaluated and should address in its application; and (b) to set the standard against which all applications will be evaluated. As indicated in Section IV.C.2 above, applicants should organize their narrative sections of the application in the same order as the selection criteria. This will facilitate the review of the applications,

After evaluation of the applications, either: (1) award(s) will be made without discussions/negotiations; or (2) if deemed necessary or desirable by USAID, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. USAID hopes to evaluate applications and award a grant(s) or cooperative agreement(s) without discussions. Therefore, the applicant's initial application should contain the applicant's best terms.

If discussions are conducted with applicants, they will be conducted with all applicants that submitted the most highly rated applications. However, the Agreement Officer may limit the number of such applications to the greatest number that will permit an efficient competition among the most highly rated applications. Exchanges with applicants after receipt of an application do not constitute a rejection or counteroffer by USAID.

After the conclusion of any such discussions, applicants with whom discussions were conducted will, unless otherwise advised, be required to submit an application revision, which will be re-evaluated against the criteria set forth in Section V.B.2 below. It is expected that award(s) will ordinarily be made after the first round of any such discussions and application revisions; however, USAID reserves the right to conduct subsequent rounds of discussions and application revisions, and to further limit the number of applicants with which such subsequent discussions would be conducted and from which a subsequent round of application revisions would be requested.

USAID intends to award a grant(s) or cooperative agreement(s) resulting from this RFA to the responsible applicant whose application, application modification(s), and/or application revision(s) represents the greatest value to USAID based on the evaluation of applications in accordance with the evaluation criteria set forth in Section V.B.2 below.

V.B. CONCEPT PAPER REVIEW FACTORS AND TECHNICAL EVALUATION CRITERIA FOR TECHNICAL APPLICATIONS

V.B.1. Concept Paper Review Factors

Concept papers will be reviewed for the following factors:

1. The applicant's concept paper outlines an innovative methodology and/or approach to community integration of earthquake-affected communities, currently residing in non-durable housing solutions on underutilized public and private lands in the Port-au-Prince area, which fits these additional criteria:
    a. A meaningful portion of population targeted in the proposal are classified by the CCCM and IOM as IDPs living in camps;
    b. Targeted populations reside in small camps or the camp can easily be subdivided into smaller sections considering program budget;
    c. Populations currently residing on identified land have already made investments (financial, social, and organizational) in their community; and
2. If applicable, the applicant identifies how private capital, other donor resources, and/or beneficiary contributions will be used to augment USAID funding. Financial plans demonstrate a financially sustainable, low-income housing model that could be replicated on other sites;

3. The applicant submits a feasible plan for securing land title and/or authorizations to work on land within six months of project start, per requirements stated in Section IV.B. The plan includes work completed to date for obtaining said title and authorizations;
4. The applicant consistently identifies concrete areas for extensive community involvement throughout the concept paper;
5. The applicant has demonstrated institutional capacity to undertake the proposed program.

V.B.2. Technical Evaluation Criteria for Technical Applications

The technical evaluation criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications (also see Section IV.C above); and (b) set the standard against which all applications will be evaluated. The Technical Evaluation Committee will evaluate the relative strengths and weaknesses of the technical applications against the evaluation criteria listed below.

Evaluation Criteria

Evaluation Criterion	**Points**
Program Strategy and Design – Evidence of an innovative, coherent and comprehensive strategy and design for the applicant's program	
Degree to which the proposed program provides a replicable model for future expansion, with a focus on the viability of program's proposed financial model, including use of beneficiary contributions and/or leveraging of private or donor funds.	15
Degree to which the proposed program demonstrates an understanding of and addresses the constraints and strategic priorities outlined in the Program Description section of the RFA. Quality and completeness of beneficiary selection criteria. Feasibility and relevance of proposed approach to alleviating current challenges faced by international organizations in attempting to provide long-term, financially viable living options for remaining internally displaced persons (IDPs), including extent to which program capitalizes on lessons learned and addresses emerging issues. Quality and completeness of proposed approach to cross-cutting issues of gender and environment.	10
Extent to which the program's target population includes a significant percentage of households currently residing in tents, as opposed to other types of non-durable structures, such as T-Shelters.	5

Sub-total – Program Strategy and Design	*30*
Program Implementation Plan – Quality, completeness, realism and appropriateness of proposed plan for program implementation.	
Degree to which target populations are mobilized and contributing to achievement of program, including participation in various phases of construction, where applicable.	10
Extent to which program proposal identifies, and provides documentation supporting, expected receipt of authority to work on proposed land in a timely manner (within six months of award date).	10
Extent to which program presents a strong communications plan that: (1) identifies methods for raising awareness and mobilizing stakeholders within the community to contribute to achievement of the program; and (2) demonstrates familiarity with disseminating program lessons learned and success to partners, host country government, and international development organizations	10
Quality and Completeness of the proposed housing design and construction management approach.	10
Quality and completeness of the proposed disaster risk reduction plan.	5
Sub-total – Program Implementation Plan	*45*
Institutional Capabilities –Demonstrated capability to implement, manage, and monitor the program.	
Quality, realism, and completeness of the applicant's management plan, including the applicant's demonstrated capacity to manage a multi-faceted, complex program in delivering a "proof of concept" to affect IDP integration and housing policy in Haiti.	5
Realism and effectiveness of the applicant's staffing plan, and the qualifications and capabilities of proposed key personnel.	5
Quality, thoughtfulness, and completeness of applicant's discussion of the M&E Plan.	5
Sub-total – Institutional Capabilities	*15*
Past Performance	
Applicant's record of: (a) experience with community mobilization projects; (b) experience with housing projects; (c) being capable, efficient, and effective in implementing the activity; (d) conforming to the terms and conditions of its contract/agreement/grant; (e) being reasonable and responsive to, and collaborative	10

with, the client, sponsor, or partner during project implementation; and (f) being committed to customer satisfaction.	
Sub-total – Past Performance	*10*
TOTAL	**100**

V.C. EVALUATION OF COST/MANAGEMENT APPLICATIONS

(a) Proposed costs are not a scored competitive factor, but will be evaluated for general reasonableness, effectiveness, realism, fairness, necessity, allowability, and allocability.

(b) Management information will be evaluated to: (1) determine the eligibility (see Section III.A of this RFA) and responsibility (see Section III.E of this RFA) of the applicant; (2) ensure compliance with USAID requirements; and (3) address/resolve issues which may impede performance and implementation, with an eye toward reducing post-award administrative requirements and burdens by resolving issues and providing approvals as part of the pre-award and award process.

(c) With reference to Section IV.D.5 above, the proposed Branding Strategy and Marking Plan (BS/MP) will not be evaluated competitively. The Agreement Officer shall review for adequacy the proposed BS/MP, and will negotiate, approve, and include the BS/MP in the award.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

VI.A. RESULTS OF CONCEPT PAPER REVIEWS

Concept paper reviews are anticipated to be completed between May 6, 2013 and May 10, 2013. All applicants will be notified of the results of USAID's review of the concept papers.

Unsuccessful applicants will be notified as soon as possible after the decision is made not to invite a full application from that applicant. An unsuccessful applicant, upon its written request received by the Agreement Officer within 10 days after the date on which that unsuccessful applicant has received notification, shall be debriefed and furnished the basis for the decision. To the maximum extent practicable, the debriefing will occur within 30 days after receipt of the written request. Unsuccessful applicants that fail to request a debriefing in a timely manner are not entitled to a debriefing, but such untimely debriefing requests may be accommodated at USAID's sole discretion. Debriefings may be done orally, in writing, or by any other method acceptable to the USAID Agreement Officer. At a minimum, the debriefing information shall include: (1) the results of USAID's review of the concept paper against the concept paper review criteria set forth in Section V.B.1 of this RFA; (2) a summary of the rationale for not inviting a full application; and (3) reasonable responses to relevant questions about whether selection procedures contained in this RFA, applicable regulations, and other applicable authorities were followed. The debriefing shall not include point-by-point comparisons of the debriefed applicant's concept paper with those of other applicants. Moreover, the debriefing shall not reveal any information prohibited from disclosure by, or exempt from release under, the Freedom of Information Act (5 U.S.C. 552) including: (1) trade secrets; (2) privileged or confidential manufacturing processes and techniques; (3) commercial and financial information that is privileged or confidential, including cost breakdowns, profit, indirect cost rates, and similar information; and (4) the names of individuals providing reference information about an applicant's past performance.

VI.B. NOTICE OF AWARD

The cooperative agreement award is anticipated to be made between July and September 2013.

Although an earlier notification may be provided to applicants regarding their recommended selection for an award, only an award signed by the USAID Agreement Officer will constitute the USAID commitment of the selection of the applicant. USAID may, at its sole discretion, provide the award to the successful applicant's designated point of contact in hardcopy originals, by fax, or electronically. The signed award will authorize the selected applicant the begin implementation of the activities described in their technical applications or technical application revisions, and will obligate funds for payment to the recipient of the award for costs incurred in such implementation. Notwithstanding the foregoing, and as indicated in Section IV.A(q) of this RFA, the Agreement Officer may authorize the selected applicant(s), at its sole risk, to begin implementation and the incurrence of costs prior to a signed award as of a specified date, with no commitment to reimburse costs in the event that the award was not subsequently signed.

Unsuccessful applicants will be notified of their non-selection after the award(s) has been made. An unsuccessful applicant, upon its written request received by the Agreement Officer within 10 days after the date on which that unsuccessful applicant has received notification of non-selection, shall be debriefed and furnished the basis for the selection decision. To the maximum extent practicable, the debriefing will occur within 30 days after receipt of the written request. Unsuccessful applicants that fail to request a debriefing in a timely manner are not entitled to a debriefing, but such untimely debriefing requests may be accommodated at USAID's sole discretion. Debriefings may be done orally, in writing, or by any other method acceptable to the USAID Agreement Officer. At a minimum, the debriefing information shall include: (1) USAID's evaluation of the significant weaknesses or deficiencies in the applicant's application, if applicable; (2) the overall evaluated technical rating of the successful applicant(s) and the debriefed applicant, and past performance information on the debriefed applicant; (3) the overall ranking of all applicants; (4) a summary of the rationale for award; and (5) reasonable responses to relevant questions about whether selection procedures contained in this RFA, applicable regulations, and other applicable authorities were followed. The debriefing shall not include point-by-point comparisons of the debriefed applicant's application with those of other applicants. Moreover, the debriefing shall not reveal any information prohibited from disclosure by, or exempt from release under, the Freedom of Information Act (5 U.S.C. 552) including: (1) trade secrets; (2) privileged or confidential manufacturing processes and techniques; (3) commercial and financial information that is privileged or confidential, including cost breakdowns, profit, indirect cost rates, and similar information; and (4) the names of individuals providing reference information about an applicant's past performance.

VI.B. PAYMENT AND FINANCIAL REPORTING

Financial reporting requirements will depend on the method of payment. In accordance with 22 CFR 226.22, advance payments will be provided if the recipient meets the standards for financial management systems in 22 CFR 226.21 (NGOs) or if the recipient is a Category 1 PIO (see List of PIOs at http://transition.usaid.gov/policy/ads/300/308maa.pdf); otherwise, payments will be on a reimbursement basis. U.S. NGOs will comply with the financial reporting requirements set forth in 22 CFR 226.52, while non-U.S. NGOs and PIOs will comply with the USAID standard provision relevant to the payment method. If advance payments are provided, reporting periods are calendar quarters or parts thereof. Quarterly financial reports are due not later than 30 days after the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. If payment is on a reimbursement basis, financial reports may be submitted monthly, but not less frequently than 30 days after the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. NGOs shall also comply with the USAID standard provision entitled "Reporting of Host Government

Taxes." PIOs, will comply with the USAID standard provisions entitled ""Reporting of Foreign Taxes (Standard)" or "Reporting of Foreign Taxes (UN)," as applicable.

VI.C. PLANNING, MONITORING, REPORTING, AND EVALUATING PROGRAM PERFORMANCE

VI.C.1. Annual Work-Plans

The Recipient will be required to submit annual work-plans, covering the period October 1 through September 30 (or parts thereof) and delineated by calendar quarters, which describes all activities planned for the year. The annual work-plan for the first year will be submitted not later than 60 days after award. Annual work-plans for subsequent years shall be submitted no later than 60 days prior to the start of the next year. As indicated in Section II.B.2 of this RFA, annual work-plans and significant revisions thereto are subject to USAID approval.

The first annual work-plan will include the selection criteria proposed for beneficiaries in instances where not all resident populations on the selected parcel of land will receive benefits from the program.

With reference to Sections III.F and IV.C.2.1(d)(ii) of this RFA, the first annual work-plan will include an Environmental Management and Mitigation Plan or other environmental information/documentation as may be required by the IEE process.

Submittal of Housing and Infrastructure Designs and Construction Management Plans

The final design documents for new housing units, and any other construction activities, will be included in the first-year work-plan, or the work-plan will be revised when appropriate to include these specifications if they are not provided in the initial first-year work-plan.

Given the potential complexity of the construction aspects of this program and the importance to USAID of high-quality construction, the Recipient will require official written approval from the USAID AOR of the annual work plan (or revised work plan) before any construction activities can begin on the site.

The following Standards and Guidelines must be adhered to in all construction:

- 2012 International Building Code
- American Society of Civil Engineers Minimum Design Loads for Buildings and Other Structures, SEI/ASCE 7-05, 2005
- American Concrete Institute Building Code Requirements for Structural Concrete (ACI318-05), 2005
- American Concrete Institute Building Code Requirements for Masonry Structures (ACI530-05), 2005

- American Forest and Paper Association National Design Specification for Wood Construction with 2005 Supplement (NDS-05), 2005

At a minimum, the construction plans to be submitted by the Awardee must include the following:

a) Complete Construction Drawings, certified by a certified, US-licensed professional engineer, for all housing and infrastructure;
b) All relevant Technical Specifications for construction activities;
c) Structural Design Calculations, certified by a licensed professional engineer.

Awardee will also provide a detailed site management plan, including but not limited to:

1. Quality assurance/quality control (QA/QC) procedures to be implemented on site;
2. Workplace health and safety plan.

If the Awardee has not yet developed the site management plan at the time of the award, Awardee may submit the first-year annual work-plan without the site management plan. In order to initiate any construction, however, the Awardee must 1) submit a revised annual work plan to the AOR which includes the site management plan; and 2) await formal approval from the AOR of the revised annual work plan.

Upon approval of the construction documents as part of the work plan, the AO will amend the agreement to incorporate the specifications for construction activities included in this agreement.

VI.C.2. Monitoring and Evaluation (M&E) Plan

The Recipient will be required to submit an M&E Plan at the same time as the first-year work-plan discussed in Section VI.C.1. As indicated in Section II.B.2 of this RFA, the M&E Plan and significant revisions thereto are subject to USAID approval.

VI.C.3. Performance Reports

The Recipient shall electronically submit all performance reports to the AOR in USAID/Washington. Performance reports will consist of the following:

(1) <u>Quarterly Program Performance Reports</u>

(A) The Recipient will be required to submit one copy of a concise and brief (not to exceed 5 pages) quarterly program performance report to the AOR, with one copy to the USAID Development Experience Clearinghouse. Reporting periods will be calendar quarters, or parts thereof. The due-date for these program performance reports is not later than 30 days after the end of each reporting period. However, a quarterly report is not required for the period July 1 – September 30. Instead, the recipient will be required to submit the annual report described in paragraph (2) below.

(B) These reports shall include the following information:

- A comparison of actual accomplishments cumulatively, with the established goals and objectives, and expected results; the findings of the investigator; or both. Data (both qualitative and quantitative) must be presented using established baseline data and indicators, and be supported by a brief narrative. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

- Reasons why established goals were not met (if applicable), the impact on the program objective(s), and how the impact has been/will be addressed.

- Other pertinent information including, when appropriate, success stories (if available) which illustrate the direct positive effects of the program; how unforeseen circumstances affected overall performance compared to original assumptions (if applicable), how activities were accordingly adjusted or re-targeted; and analysis and explanation of cost overruns or high unit costs.

(2) Annual Reports

(A) In lieu of a quarterly report for the period July 1 – September 30, the recipient shall submit an annual report (typically 10-15 pages) to the AOR not later than October 31 of each year, covering the period October 1 through September 30 (or parts thereof). The annual report shall include a two-page summary of program progress to-date.

In addition, qualitative descriptions of milestones achieved vis-à-vis the realization of the program will be included in each report. The annual report shall also summarize activities undertaken, progress made, results achieved, trends, problems, etc., under the award. A copy of the annual reports shall also be submitted to the USAID Development Experience Clearinghouse.

(B) In accordance with 22 CFR 226.51(d), the annual reports shall be concise and present the following information:

- A comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.

- Progress made toward established benchmarks and result indicators of development impact, as discussed in the program description of this RFA and detailed in the Recipient's M&E Plan.

- Reasons why established goals were not met, if appropriate.
- Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.
- In addition, qualitative descriptions of success stories and achievements to illustrate impacts of the program must be included when possible.

(2) Notifications

The Recipient will be required to immediately notify the AOR and the Agreement Officer of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

(3) Final Report

The final performance report will replace the last annual report, and shall include the information described in paragraph (1) above. The final report shall include an executive summary of the Recipient's accomplishments overall in achieving results and impact; conclusions about lessons learned; future challenges and opportunities; an overall description of the Recipient's activities and attainment of results; an assessment of progress made toward accomplishing the development impact objectives and expected results; significance of these activities; important findings; and comments and recommendations. The final report shall incorporate the findings and results that were included in previous annual reports, and is due no later than 90 days after the completion, expiration, or termination of the award. A copy of the final report shall also be submitted to the USAID Development Experience Clearinghouse.

(4) Evaluation

The PILOTING OPTIONS FOR THE SUSTAINABLE INTEGRATIONS OF TARGET EARTHQUAKE-AFFECTED COMMUNITIES IN HAITI (POSITEC) Program will be subject to a performance evaluation, per USAID's evaluation policy which can be found at http://transition.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf. USAID will arrange and pay for the evaluation outside of the award(s) resulting from this RFA. The evaluation will assess the following: (1) the program performance; and (2) overall management.

The performance evaluation will evaluate the implementation of the program, including the quality and progress of the methodology; the achievement of replicability of the program methodology; the degree to which the program mobilized beneficiary populations to contribute to the development of the new community; the degree to which the program advertised and disseminated program success to allow other organizations/donors to replicate the methodology in other areas; and overall progress on agreed-upon measurable outcomes.

It will also evaluate the administrative and management effectiveness of the recipient, including the relationship between the recipient and sub-recipients/contractors/partners; and the relationship and communication with USAID/Haiti.

VI.D. TITLE TO PROPERTY

Title to property financed by USAID under the award(s) will vest in the Recipient, and will be subject to 22 CFR 226.30-37. (U.S. NGOs), the USAID standard provision for non-U.S.NGOs entitled "Title To and Use of Property," or the USAID standard provision for PIOs entitled "Title To and Disposition of Property."

VI.E. PROGRAM INCOME

For non-profit NGOs, any program income generated under the award(s) will be added to USAID funding (and any cost-sharing that may be provided) and used for program purposes. For for-profit NGOs, any program income generated under the award(s) will be deducted from the total project or program allowable cost in determining the net allowable costs on which the USG share of costs is based. Program income will be subject to 22 CFR 226.24 (U.S. NGOs) or the USAID standard provision for non-U.S. NGOs entitled "Program Income." For PIOs, any program income will be used for program purposes in accordance with the PIO's established policies and procedures.

SECTION VII – AGENCY CONTACTS

All questions and applications submissions regarding this RFA should be directed to:

Email: positecprogram@usaid.gov

SECTION VIII – OTHER INFORMATION

(a) In accordance with 22 CFR 226.81, no funds under the award(s) resulting from this RFA shall be paid as profit to any recipient or sub-recipient. Profit is any amount in excess of allowable direct and indirect costs. This does not preclude payment of profit to the recipient's or sub-recipients' vendors (contractors) under procurement contracts and subcontracts for the acquisition of goods and services, which are subject to 22 CFR 226.40-49, as well as the USAID standard provision entitled "USAID Eligibility Rules for Goods and Services." Guidance on distinguishing between vendors/contractors and sub-recipients may be found in §___.210 of OMB Circular A-133. Also see http://transition.usaid.gov/policy/ads/300/303sai.pdf.

(b) As indicated in Section IV.A.(g) of this RFA, USAID reserves the right to fund any or none of the applications submitted in response to this RFA.