



USAID
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Issue Date: April 13, 2016
Deadline for Question: April 25, 2016
Closing Date: May 12, 2016
Closing Time: 15:00 hrs Dominican Local Time

Subject: Notice of Funding Opportunity Number: RFA-517-16-000004

Activity Title: **"Climate Risk Reduction"**

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified Non-U.S. organizations to fund an activity entitled **"Climate Risk Reduction"**. Eligibility for this award is restricted to local organizations see Section C of this NFO for eligibility requirements.

Subject to the availability of funds an award will be made to the responsible applicant whose application best meets the objectives of this funding opportunity and the selection criteria contained herein. While one (1) award is anticipated as a result of this notice of funding opportunity (NFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download the Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

The successful Applicant will be responsible for ensuring the achievement of the activity objectives. Please read each section of the NFO.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

A handwritten signature in black ink, appearing to read 'L. McElroy', is positioned above the printed name.

Linda McElroy
Agreement Officer

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SECTION A: PROGRAM DESCRIPTION

I. Introduction

Under the Global Climate Change (GCC) Presidential Initiative, the US Agency for International Development (USAID) is providing assistance to partner countries in three main areas: clean energy, sustainable landscapes, and adaptation to Global Climate Change. As the Dominican Republic (DR) is one of the eleven most vulnerable countries in the world to climate change, USAID's GCC focus is to support the Dominican government and people adapt to the impacts of climate change. The USAID/DR approach follows USAID's Global Climate Change and Development Strategy, where increased resilience to climate change is achieved by improving access to climate information, incorporating that information into effective governance systems and processes, and translating those processes into on-the-ground adaptation actions. To reduce the climate risks faced by the most vulnerable populations in the Dominican Republic, the Mission designed the Urban Resilience to Climate Change Project (CLIMA - acronym for the project's Spanish name *Ciudades Líderes en Iniciativas y Metas de Adaptación*). The Project Appraisal Document (PAD) that envisions this program was approved on April 25, 2014.

To implement the CLIMA project, in 2014 USAID/DR published three solicitations [two Requests for Applications (RFA) for single awards (CLIMA-Info and CLIMA-Plan) and one Annual Program Statement (APS) for several CLIMA-Adaptation awards. The APS expired in August 2015. As a result of these solicitations, four cooperative agreements have already been awarded and the program is underway, as follows:

- 1) CLIMA Info-Improved Climate Information Program, implemented by Instituto Tecnológico de Santo Domingo (INTEC) to improve collection, management and distribution of user-friendly and relevant climate information, and solicited as CLIMA-Info;
- 2) CLIMA Plan-Planning for Climate Change Adaptation Program, implemented by International City/County Management Association (ICMA), to integrate climate information into municipal land-use planning processes, and solicited as CLIMA-Plan;
- 3) CLIMA Adapt-Climate Adaptation Measures Program, implemented by Instituto Dominicano de Desarrollo Integral (IDDI), to support municipalities with implementing their land use plans and develop on-the-ground adaptation actions in vulnerable communities, and solicited as CLIMA-Adapt via the APS; and
- 4) CLIMA Adaptation-Feed the Future Dominican Republic Climate and Agriculture Program, implemented by the Fundación Rural Economic Development Dominicana (Fundación REDDOM), to improve water and land management through climate smart agriculture practices, and solicited as CLIMA-Adapt via the APS.

Building on these previous awards, USAID/DR is seeking applications from qualified local non-governmental organizations and local not-for-profit and for-profit entities (including NGOs, business associations, and academic institutions) wishing to participate in the **Climate Risk Reduction** activity by providing technical assistance to implement on-the-ground climate change adaptation actions in the municipalities of **Santiago and Las Terrenas** only. This activity should support the objectives of the overall CLIMA project and fully integrate with ongoing plans and activities.

II. Purpose

The purpose of this USAID/DR activity is to work with select municipalities to implement priority on-the-ground climate change adaptation interventions. Some interventions may have already been identified by municipal-level land use planning processes that incorporate climate change information and inclusive public input. Integrated municipal land use and climate change adaptation action plans resulting from ongoing USAID assistance to select municipalities under the CLIMA Plan-Planning for Climate Change Adaptation Program implemented by ICMA, as well as other existing plans for these municipalities, should be used to identify priority on-the-ground adaptation actions in vulnerable communities. The CLIMA Plan-Planning for Climate Change Adaptation Program will ensure that, once armed with accurate climate information gathered by USAID/DR's CLIMA Info-Improved Climate Information Program implemented by INTEC, and a planning process to develop adaptation options, municipalities and communities will be adequately equipped to take the next steps and implement priority activities. It is anticipated that interventions will focus on adaptation activities pertaining to improving the provision of clean drinking water, adequately managing sewage collection/disposal, mitigating urban and coastal flooding and reducing beach erosion.

III. USAID/DR's Approach and Geographic Focus

On August 20, 2013, the USAID/DR Country Development Cooperation Strategy (CDCS) for FY 2014-2018 was approved. The CDCS is a five-year plan which aims to achieve the following goal: "The Dominican Republic Improves Citizen Security to Promote Economic Growth".

This goal will be pursued through three Development Objectives (DOs):

DO 1: Crime prevention strengthened;

DO 2: Increased resilience of people to the impacts of climate change; and

DO 3: AIDS-free generation advanced.

Using this framework, USAID approved its PAD for its Urban Resilience to Climate Change, Development Objective 2 (DO 2). Activities under DO 2 focus on reducing the climate risks faced by the most vulnerable Dominicans. By addressing these climate-related risks, activities

within this activity aim to reduce the physical and economic insecurities of these populations, which are projected to worsen with climate change unless corrective measures are taken. The resulting initiative, known by its Spanish name, *Ciudades Líderes en Iniciativas y Metas de Adaptación* (CLIMA), focuses on reducing the climate related risks faced by the most vulnerable Dominicans.

The activity to be implemented by the successful applicant falls under one of the three CLIMA initiative components: CLIMA-Adaptation, which focuses specifically on adaptation to Global Climate Change at the local level. This activity will contribute to the overall results of the CLIMA program and will be implemented in close coordination with existing CLIMA activities and partners.

CLIMA's overall purpose is to increase the resilience of urban and upper watershed communities to climate change by:

1. Improving land use planning to enable the diagnosis and reduction of climate-related risk; and
2. Implementing climate-related risk reduction measures at the municipal and community levels.

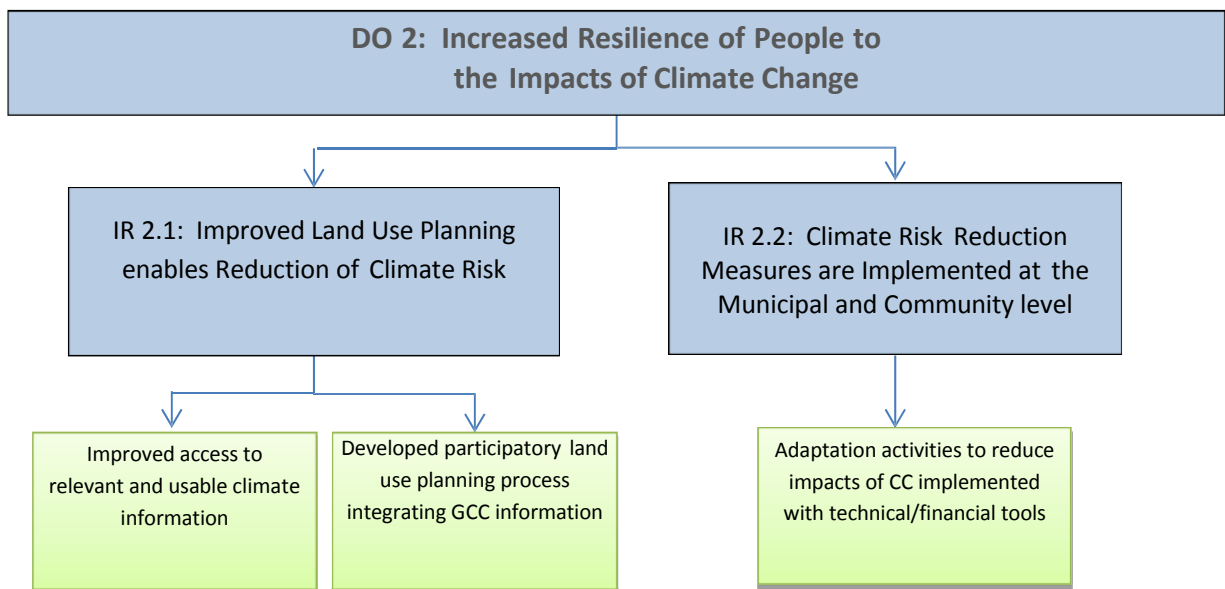


Figure 1: Results Framework for USAID/DR Climate Change Strategy

As shown in Figure 1 (above) the two Intermediate Results will be attained by carrying out the three core activities that comprise the CLIMA Project. The first activity, CLIMA-Info implemented by INTEC, works to improve access to climate information by (1) ensuring that this information is available, timely, and useful for municipal-level and individual decision-making; (2) improving the capacity of key climate information providers, such as National

Meteorological Office (ONAMET, Spanish language acronym) and National Water Resources Institute (INDRHI, Spanish language acronym); and (3) developing a “decision support” mechanism, such as a consortium of research organizations, for the target municipalities to request and receive analysis and objective, technical advice for climate-related questions pertaining to urban development and city administration, and (4) pilot an early warning system in selected communities.

The second activity, CLIMA Plan-Planning for Climate Change Adaptation Program implemented by ICMA is developing participatory municipal land use planning processes that provide transparent and effective entry points for the integration of the climate change information developed under CLIMA Info-Improved Climate Information Program. This activity focuses on developing and improving governance systems in order to channel key information into policy, planning, and ultimately implementation of land use and infrastructure-related activities. In the first two years of implementation, four municipal land use plans will have incorporated climate change adaptation considerations; it is expected that this process will then be replicated by four more municipalities.

The third activity, CLIMA Adapt-Climate Adaptation Measures Program implemented by IDDI, supports municipalities with implementing their land use plans and developing on-the-ground adaptation actions in vulnerable communities. Armed with climate information and a participatory planning process to develop adaptation options, the third activity (of which this RFA is part) will support the implementation of priority adaptation strategies in vulnerable communities. This activity will focus efforts on implementing locally appropriate and affordable strategies to solve specific problems related to flooding and unreliable water supply, such as enhanced water storage and storm water drainage capacity, increased storm surge protection measures, collection/treatment options for sewage, and improved flood and erosion control. Several strategies will be supported in the target metropolitan areas and associated watersheds that provide urban water supply.

The fourth activity (implemented by REDDOM) works to improve water and land management through climate smart agriculture practices in the Jarabococha area, including upper watershed areas and high-potential agriculture sites, and to improve climate-related information systems. In addition, as a cross-cutting technical activity, USAID has engaged the United States Forest Service (USFS) to support local partners with targeted technical assistance through its vast network of specialized expertise. The USFS will support the development of capacity and tools in watershed management, climate information analysis, climate change vulnerability assessment, green infrastructure development, urban forestry, among many other areas. The technical assistance will be provided to local stakeholders, municipal planners and officials, and communities.

On-the-ground work activities and small-scale construction should be adapted to the identified climate change related risks. There should be less emphasis on the training and capacity building found within other CLIMA activities. The following are also important considerations:

- Public potable water and sewage systems are key infrastructure and have been identified as areas needing improvements to adapt to climate change.
- Facilitate the design/construction of small-scale climate-resilient works; capitalizing upon Inter-American Development Bank (risk mapping) and USAID-financed (*Santiago Solidario* and CLIMA) planning and training of local governments and civil society groups;
- Coordination with City Council and local water/sewage committees.

In order to achieve CLIMA's expected results, the activities described in this Notice of Funding Opportunity (NFO), must be fully integrated. For example, it is critical that CLIMA-Info connect to the planning interventions of CLIMA-Plan and the implementation interventions of CLIMA-Adapt so that both planning and implementation are appropriately and adequately climate-informed. Given the potential for overlap between stakeholders, the creation of a coalition of partners to coordinate and integrate activities is being undertaken. The execution of overlapping tasks will be the responsibility of all involved implementing partners. Keep in mind that proposed activities should complement and not duplicate those of existing CLIMA awardees described in this narrative. The selected prime grantee, and sub-grantees, will collaborate with existing CLIMA partners and seek synergies and economies of scale as feasible.

a) *Geographic focus:*

For the purposes of this NFO, all activities should be targeted exclusively at the municipalities of Santiago and Las Terrenas, as well as associated watersheds. Santiago falls within USAID/DR's CDCS geographic focus on the "Duarte corridor." This corridor runs from Santo Domingo through Santiago to Puerto Plata and contains approximately 70% of the country's population. This activity will specifically work with the municipal governments, relevant public and private institutions, and communities in target areas.

Given that Santiago is a much larger municipality than Las Terrenas, with a significant vulnerable population, USAID anticipates that it will benefit from a correspondingly greater level of effort from the proposed activity. Thus applicants to this NFO should provide likely funding percentages for all activities by municipality and provide a clear picture as to which activities will be conducted where.

Specific actions will be focused in the poorest communities along urban/peri-urban riverbanks and on the coast. In Santiago, the activity will similarly focus on neighborhoods with the highest concentrations of poverty and physical vulnerability to climate change, namely those that are

located on the banks of the Yaque del Norte River, such as Bella Vista and La Yagueta del Pastor, and along major ravines, such as the Gurabo and Nibaje Ravines. In Las Terrenas, beach erosion and flooding are major issues that have been affecting the tourism industry and city dwellers. In addition, the spillage of raw sewage and loss of coastal vegetation further increase vulnerability and contribute to the die-off of coral reefs, salt water intrusion, and environmental degradation.

b) Climate Impact Focus:

While land use planning is inherently multi-sectoral, USAID/DR is strategically focusing its technical assistance resources on reducing risk from three major impacts of climate change:

1. Reduction in reliability and quality of drinking water supplies, and related saltwater intrusion;
2. Reduced ability to manage the collection and treatment of sewage (gray & black waters), and
3. Urban/peri-urban and coastal flooding, and beach erosion.

It is intended that land use planning interventions, such as sector-specific analysis, would prioritize small-scale, cost effective improvements in the availability of clean drinking water, improvements to sewage collection/treatment, and reduction in the impact of urban/peri-urban and coastal flooding in the activity's target communities. However, specific interventions will be developed with the municipalities according to their own priorities, physical characteristics and vulnerabilities. For example, this activity might focus on improving and/or scaling up urban/peri-urban small-scale infrastructure (potential for higher magnitude 100-year floods, for example), supporting back-up systems (protected rainwater storage), developing resilient small-scale infrastructure within high risk flood zones, improving urban drainage systems, improving collection/treatment of sewage, creating small-scale, engineered coastal defense systems, and increasing flood buffer zones, among many other potential on-the-ground activities. All climate change adaptation actions should be in line with ecosystem preservation, biodiversity conservation, and recuperation of natural resources, and utilize green infrastructure options to the extent possible. All proposed interventions should have high potential for resilience, cost-effectiveness, replicability, and social acceptance.

IV. Objectives and Expected Results

This activity is intended to promote the implementation of locally appropriate, cost-effective and affordable on-the-ground interventions to mitigate Global Climate Change adaptation-related problems related to flooding, sewage treatment, and water supply, as well as to share lessons which encourage other organizations and communities to replicate the most promising practices.

The main results sought under this NFO correspond to climate impact focal areas:

1. Improved quality and reliability of water supply to vulnerable urban communities;
2. Improved collection and treatment of sewage and
3. Reduction in the negative impact to people, property, and livelihoods of urban and coastal climate-related flooding and projected sea level rise.

Given that there are numerous ways to tackle these issues, activities will be oriented towards key target areas in Santiago and Las Terrenas municipalities and the watersheds that feed their municipal water supply systems, contribute to flooding or are economically important. Desirable activities will consist of concrete, results-oriented, on-the-ground, scalable, cost-effective actions that achieve the above-stated results. Therefore, successful applications will clearly address the following:

- *Scale*: tasks will be implemented on a sufficient scale to allow measurement of the reduction of a specific risk (reduction in flooding impact, improvement in water supply quality/quantity), and/or improvement in a specific condition e.g waste water management. Since clear relationships are not always established between system characteristics (such as watershed functional integrity) and their effects on risk reduction, individual activities proposed should have a strong evidence base and results monitoring plan.
- *Sustainability*: It is critical that maintenance and operational costs, if applicable, are factored into applications so that on-the-ground interventions are easily maintained and are potentially sustainable. Weight will be placed on applications that offer potential funding from the private sector and the Government of the Dominican Republic (GODR).
- *Replication*: Include strategies for partners, municipalities and participating communities to scale-up and/or implement similar adaptation activities in other locations, such as through the documentation of methodologies/construction techniques and results, development of diagnostic tools, workshops, websites, etc.

The implementer will need to comply with USAID’s requirements for Global Climate Change funding. USAID’s Climate Change Development Strategy’s (<http://www.usaid.gov/climate/strategy>). The Adaptation Pillar includes the following three requirements for adaptation activities:

- Activities must have at least one explicit climate change objective
- Activities must be informed by vulnerability and adaptation assessments (existing or new)
- Measure success with one or more global climate change indicators, including USAID’s mandatory GCC Adaptation indicator: *Number of Stakeholders with Increased Capacity to Adapt to the Impacts of Climate Change as a Result of USG Assistance*

The **Climate Risk Reduction** activity will contribute to the DO2 Results Monitoring and Indicators as shown below:

Development Objective #2: Increased Resilience of People to the Impacts of Climate Change

Result	Performance Indicator
CDCS Goal: The Dominican Republic Improves Citizen Security to Promote Economic Growth	• Citizen perception of insecurity
DO 2 Increased Resilience of People to the Impacts of Climate Change	• Number of people benefiting from risk-reducing practices/actions to improve resilience to climate change.
IR 2.1 Improved Land Use Planning Enables Reduction of Climate Risk	• Number of adaptation strategies in municipal plans as a result of USAID supported land use planning processes.
<i>Sub-IR 2.1.1 Participatory Land Use Planning Integrates GCC Information</i>	• 4.8.2-28. Number of laws, policies, strategies, plans, agreements or regulations addressing climate change and/or biodiversity conservation officially proposed or adopted.
<i>Sub-IR 2.1.2 Improved Access to Relevant and Usable Climate Information</i>	• Number of people served by weather and climate information and/or early warning systems.
IR 2.2 Climate Risk Reduction Measures are Implemented at the Municipal and Community Level	• Number of people implementing climate risk reduction measures taken by targeted municipalities and communities.
<i>Sub-IR 2.2.1 Individual and Institutional Knowledge of Adaptation Strategies Increased</i>	• 4.8.2-26. Number of stakeholders with increased capacity to adapt to the impacts of climate change as a result of USG assistance.
<i>Sub-IR 2.2.2 Increased Access of Municipalities and Vulnerable Populations to Technical and Financial Tools</i>	• Number of climate mitigation and/or adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance.

Indicator targets and results will be disaggregated by sex and geographic area (community/municipality/province level), where relevant. The applicant may also propose additional custom indicators to complement the above indicators. In addition, USAID may

develop additional activity indicators that would be collected or measured every 2-3 years after a baseline survey to identify longer-term program impacts.

V. Specified Key Personnel

Project Director

The Project Director will have overall responsibility for coordination of all project activities and staff. S/he will be responsible for technical leadership and administrative oversight of the program and will serve as the principal institutional liaison to USAID. S/he will manage a team of senior staff and sub-partners and ensure quality, timeliness, and efficiency of all products and activities generated under the project.

- Master's Degree or higher in international development, urban planning, climate change, environment and natural resources, or a closely related field is required.
- Ten years of experience living or working in a developing country is required.
- S/he must have strong leadership qualities and depth and breadth of technical and management expertise, as demonstrated by at least ten years of experience designing, implementing and managing projects involving multiple partners, in/for developing countries, of which at least five years has been spent in the position of Project Director or Deputy Project Director.
- Management experience with a USG cooperative agreement preferred. Experience with municipal planning and development, systems strengthening, capacity building, economic strengthening, service delivery, quality improvement or policy development is required.
- S/he must have experience interacting with national/local government agencies, host country governments and counterparts, and international donor agencies.
- Strong interpersonal, writing and oral presentation skills in English and Spanish are also required.
- Fluent in English and Spanish

Technical Content Specialist (TCS):

Climate Change/Natural Resources Management/Urban Development

Under the leadership of the Project Director, the TCS will be responsible for technical leadership to assist municipalities to incorporate climate change adaptation into the municipal planning process.

- Master's Degree or higher in urban planning, climate change, environment/natural resources, or a closely related field is required.
- The TCS must be experienced in assessing and addressing the challenges faced by municipalities in light of their vulnerabilities to climate change, as demonstrated by at least five years of experience designing, implementing and managing projects involving multiple partners, for developing countries.
- Three years' experience in municipal planning/development, capacity building, economic strengthening, service delivery, quality improvement or policy development is required.
- Strong writing and oral presentation skills in English and Spanish are required.

- Strong interpersonal skills is required.

The TCS experience and education shall be complementary to those of the Project Director.

Financial Specialist

The proposed Financial Specialist will oversee all financial and operational matters within the project, including managing financial systems, generating financial reports, tracking expenses, administering sub-awards, managing finance and operational issues.

- Bachelor's Degree or higher in accounting, finance, business management or a related field is required.
- Knowledgeable of Dominican legislation, related to financial reporting, taxes and labor laws.
- S/he must have at least five to seven years of experience managing finances and operations of a project and or NGO.

Monitoring & Evaluation Specialist (MES)

The proposed MES will have responsibility for overseeing all monitoring, evaluation and research activities associated with the project.

- Master's Degree or higher or equivalent experience in monitoring and evaluation, municipal planning and development, demography, social science, biostatistics, statistics, or a related field is required.
- S/he must have at least three years of experience supervising, monitoring municipal development, urban planning, capacity building, economic strengthening and service delivery.
- The candidate must have strong quantitative or mixed-method and analytical skills and ability to articulate technical information clearly and effectively to both technical and non-technical audiences.
- S/he must have strong skills using MS Excel, Word, PowerPoint and Access.
- S/he must have demonstrated leadership qualities, depth and breadth of technical and management expertise and experience, and strong interpersonal, writing, and oral presentation skills, in English and Spanish.
- Ideally fluent in English and Spanish
- Five years of experience living or working in a developing country is desired.

VI. Complementary Outcomes

As stated above, the objective of this NFO is to make significant strides in climate risk reduction at the municipal and community level in the Dominican Republic. It is also anticipated that this Project will complement and coordinate with a number of other programs and initiatives as follows:

- Coordinate with the USAID/DR's Civil Society Program (DO1 – Civil Society Action for Accountable Justice and Security) implemented by Participación Ciudadana (Dominican NGO). The focus of the activity is on citizen participation in Land Use Planning and GODR accountability of funds dedicated to Global Climate Change objectives. The objective is to increase the transparency and accountability of Government institutions in Dominican Land Use Planning, and improve public engagement and oversight of Climate Change adaptation practices. Life of project is 2015-2018.
- Build upon training of the Corporación Ciudadana Santiago Solidario within USAID's Disaster Prevention and Preparedness Interventions in Vulnerable Communities program in Santiago. This activity (now ended) focused on training/capacity building/diagnostics within 11 vulnerable communities along the Yaque del Norte River in the municipality of Santiago.
- Build upon the lessons learned and training provided by USAID's "Climate Resilient Infrastructure Services" (CRIS) activity, which operated in the Santo Domingo National District 2013-15. Its objective was to test/implement climate change adaptation & risk management strategies as an integral part of city development and share lessons learned through peer learning networks. The project focused on infrastructure services: transportation, water, sanitation and waste management, energy, communications, and shelter services in Ward 3 and worked closely with the National District Council (Ayuntamiento del Distrito Nacional), other GODR agencies, and NGOs.

In addition, on-the-ground work activities and small-scale construction should be adapted to climate change related risks, building on the work of the following important initiatives:

- Public potable water and sewage systems are key infrastructure and have been identified as areas needing improvements to adapt to climate change: water and sewage improvement work undertaken in the National District by the Water and Sewage Corporation (CAASD, Spanish language acronym), the City Council and local water/sewage committees.
- Design/construction of small-scale climate-resilient works developed in Santiago upon Inter-American Development Bank's (risk mapping) and USAID-financed (Santiago Solidario and CLIMA) activities which included planning and training of local governments and civil society groups.

VII. Additional Information: The Climate Change Context in The Dominican Republic

The Dominican Republic, a small country which shares the island of Hispaniola with Haiti, is one of the most vulnerable countries in the world to climate change. It is currently ranked 11th on the Global Risk Index, while Haiti is ranked as the third most vulnerable country.¹ This vulnerability has three dimensions, each of which need to be addressed in order to increase resilience: (1) existing physical vulnerability and exposure, particularly of marginalized populations; (2) social and economic vulnerability and dependence on natural resources that are exposed to climate

¹ Germanwatch 2016 Climate Risk Index

stresses; and (3) institutional vulnerability that prevents the necessary inclusion of key information and marginalized populations into decision-making.

First, the DR has a tremendous level of physical vulnerability to climate change. According to the 2013 Vulnerability Assessment conducted by the USAID-funded Africa and Latin America Resilience to Climate Change (ARCC) Activity, future projections for the DR show regional and seasonal changes in precipitation and steadily increasing temperatures that will likely lead to more droughts in arid regions.

Combined with more intense tropical storms and sea level rise, the study identified flooding as a primary climate change impact, along with the related impacts on water quality and quantity and marine/coastal ecosystem degradation.² In coastal areas, which are absorbing a majority of the country's current and future development and population growth³, increased intensity of tropical storms and sea level rise are feeding larger storm surges. Of the natural disasters impacting the DR, storms and floods have had the highest human and economic impact.⁴ Storm surges are flooding vulnerable communities and critical infrastructure, resulting in erosion of beaches that are critical to the DR's "sun and sand" tourism, and hasten salinization of aquifers in groundwater-dependent tourist towns, such as Las Terrenas. In urban areas, such as Santiago, the effects of river flooding during extreme rainstorms, puts hundreds of thousands of the country's poorest people in physical danger of flooding and landslides.

According to the World Bank, while access to improved water and sanitation is fairly high, water quality and reliability is a growing problem that will only worsen with climate change. Increased flooding and storm water runoff in urban watersheds, such as in Santiago and Las Terrenas is leading to contamination of surface and ground water sources. Data from the 2004 National Survey of Living Conditions (ENCOVI) show that an average Dominican household connected to piped water effectively gets a mere three days of water per week⁵. The impacts of this dramatic fall in service are both costly and unhealthy. In 2007, in urban areas, close to 60 percent of households consider bottled water their main source of drinking water, twice the level of 1996; however, rich households are three times more likely to use bottled water as their primary source than poor households. Only 42 percent of these use a reliable purifying treatment such as boiling or filtering, which has dramatic health implications especially for young

² ARCC Dominican Republic Climate Change Vulnerability Assessment Report, September 2013

³ According to the National Office of Statistics, 76 percent of the population growth forecasted between 2010 and 2020 is expected to occur in coastal provinces.

⁴ Dominican Republic: Country Note on Climate Change Aspects in Agriculture December, 2009, World Bank

⁵ http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2006/11/30/000090341_20061130091611/Rend ered/PDF/32422.pdf Only 24 percent of households with piped water actually receive water 2 days per week at most, 27 percent receives it 3 to 6 days per week, and less than half receives it the entire week. On the days water is received, 44 percent of households receive it less than 8 hours per day, 17 percent receive it for roughly half the day, and only one third actually get water for a full 24 hours.

children.⁶ In fact, diarrhea ranks first among the causes of under-five child mortality in the DR and the World Bank cites lack of access to piped water as one of the major causes for the deaths of 2,400-3,200 young children each year. The Demographic Health Survey shows that the number of children in urban areas with diarrhea prevalence has increased substantially from around 1,500 children in 1986 to around 3,512 in 2013, with the highest prevalence of cases in Santo Domingo.⁷

This issue is exacerbated by poor upper watershed management, such as in the agricultural sector. A 2002 study conducted by the US Southern Command⁸ found that climate change will have the greatest impact on farming communities along the Yaque del Norte and Yaque del Sur rivers, which are the two largest sources of freshwater in the DR. Increased variability in rainfall will cause further strain on finite water supplies, already found to be largely wasted because of irrigation inefficiencies and contaminated because of irrigation discharge back into streams that is usually high in total dissolved solids, fecal coliform, nitrates, phosphates, pesticides and herbicides. In coastal cities like Las Terrenas, raw sewage discharge into urban creeks and underground is the major environmental pollution issue facing the local government and tourism investors. Contamination of surface/ground water and the beach are of the greatest concern to the mayor and the population.

Second, there is existing economic and social vulnerability that make certain populations much more sensitive to this physical vulnerability than others. At a national level, the DR is highly dependent on tourism, with the total (direct and indirect) contribution of tourism to GDP of 15% in 2011, making it one of the most tourism-dependent economies among its Latin American peers.⁹ In fact, more than 550,000 jobs or 14% of employment is supported by the tourism industry, with many more informally employed in the sector¹⁰. In the DR, tourism is highly concentrated in coastal areas, such as Samaná, Las Terrenas, Puerto Plata, Punta Cana, and Bayahibe, and is dependent on coastal natural resources, such as beach quality and fisheries. Beach erosion is a current problem that will worsen as climate change impacts further degrade coral reef ecosystems (source of white sand) and strengthen storm surges. Coupled with sea level rise, erosion rates have been recorded at 0.5 meters/year in some Caribbean islands.¹¹ Other coastal sectors, such as fisheries, are also highly sensitive to these climate impacts that further stress fish habitats, such as coral reefs and mangroves, which are already degraded from overfishing, as well as non-climate impacts, such as poor land use and watershed management and soil and water contamination from industrial, agricultural, and residential sources. It is estimated that 70-90% of coral reefs are dead or dying in key tourism areas of the country, such

⁶ *ibid*

⁷ Encuesta Demografica de Salud Republica Dominicana, ICF International, 2013

⁸ "Water Resources Assessment of the Dominican Republic", U.S. Southern Command, 2002

⁹ http://www.wttc.org/site_media/uploads/downloads/dominican_republic2012.pdf

¹⁰ <http://latintrade.com/2011/10/country-report-latin-american-tourism-champion>

¹¹ *Ibid*

as Montecristi, Samana-Las Terrenas, and Punta Cana¹². This persistent and rapid degradation of coral reefs and mangroves, which are critical barrier ecosystems against storm surges, also make coastal communities, farmland and private enterprises more vulnerable to coastal flooding. These impacts are sharpest for the most socio-economically disadvantaged, such as small-scale tourism operators and fishermen, and the urban poor. Due to a lack of economic mobility, these groups are often forced to develop coping strategies which have serious negative side effects such as unsustainable fishing practices or haphazardly digging more wells to escape groundwater salinization. In urban areas, although flooding is often a citywide problem, the urban poor are often densely packed in informal settlements in the most flood-prone parts of the city, such as on the banks of the Yaque del Norte in Santiago.

Third, many of the sensitivities to climate change impacts are made worse by institutional weaknesses in land and natural resource planning and management at both the national and local levels. Lack of land rights, economic mobility, and political power limit the choices that these slum residents have to relocate themselves outside of the direct physical risk of flooding. Their housing is improvised and built with substandard materials and construction practices, and their communities are devoid of sites and services planning, leaving residents without secure access to water, proper drainage systems, or solid waste collection and removal, which contribute to flood risk and unreliable drinking water supply.

Municipalities are legally required to develop and implement a land use planning process under 176-07 Law of the Dominican Republic; none have yet complied, though more advanced municipalities like Santiago have developed strategic plans. Without a planning process, the ability of municipalities to incorporate climate change or public input into decision-making is ad hoc at best and absent at worst. This issue holds true for water resource management as well, where in the groundwater-dependent Southeast, extraction via wells does not appear to be controlled, monitored, or managed, which is leading to more rapid saltwater intrusion. Municipalities generally have been unable to meet their minimum responsibilities as legally defined, such as environmental protection and urban planning, because of lack of technical expertise, political authority, tax and program incentives for investment in infrastructure (resilient or otherwise), and resources to support financing climate change related activities.

The lack of accessible and useful climate information also hampers the ability of local communities and governments to adapt to the negative effects of climate change. There exist substantial bottlenecks in the flow of forecasts and climate analysis produced by the National Meteorology Office (ONAMET) across ministries and from the central to local level. At the local level, procedures, information processing systems, and technical capacity are not strong enough to request, receive, interpret, or analyze climate information for decision-making purposes.

¹² ARCC Dominican Republic Climate Change Vulnerability Assessment Report, September 2013

In 2010, the GODR adopted its first National Development Strategy (END 2010-2030, in Spanish), a 20-year roadmap of the country's development priorities. This activity will directly contribute to two of the GODR's National Development Strategy Objectives: i) "An economy that is developed territorially and by sector, that is innovative, diversified, and environmentally sustainable; and that generates high, sustained growth, with equality and decent employment; increased global competitiveness"; and ii) "A sustainable society that protects the environment and natural resources, and promotes climate change adaptation."

In 2014, the GODR initiated the consultation process necessary to prepare the Third National Communication on Climate Change, which was released in January 2015. The "Tercera Comunicacion" was a major step forward for the GODR in regard to recognizing the impacts of Global Climate Change on the country and presented the anticipated impacts of two climate change scenarios on the country. Subsequently, the GODR enacted a Climate Change Policy (Decree 269-15) which became law just prior to the Conference of the Parties 21 (Paris Climate Conference).

The activity will also coordinate with other donor investments in local capacity development, such as:

The World Bank's \$20 million "Municipal Development Project", which is developing the technical and financial capacity of thirty municipalities. The European Union's \$20 million PASCAL (*Programa de Apoyo a la Sociedad Civil y a las Autoridades Locales*) project, which is implementing a municipal capacity building program in dozens of municipalities to improve governance and accountability of local governments through the professionalization of municipal public services with civil society monitoring; and France Cooperation Agency (AFD)'s \$11.5 million project to reforest 10,000 hectares, prevent soil erosion, and improve water and sanitation services in the Yaque del Norte watershed. Other donors, such as the Food and Agriculture Organization (FAO), German Cooperation (GIZ), Japanese International Cooperation Agency (JICA), United Nations Development Program (UNDP), and Global Environmental Facility (GEF) also work in sectors relevant to climate change adaptation and will be coordinated with on this project.

USAID has been supporting climate change adaptation work in the DR since 2010, primarily through the Environmental Protection Program implemented by The Nature Conservancy (TNC). Under this program, various activities were undertaken that should be leveraged in the new activity. Specifically, TNC and its consortium of local sub-awardees conducted a suite of activities to strengthen land use planning and integrate climate change, including a provincial climate change and land use plan for Samaná, creation of climate change and planning certificate training courses (*diplomados*) for municipal planners in collaboration with FEDOMU, support of an environmental assessment and incorporation of climate change into the National Land Use

Plan, and implementation of various adaptation activities, such as mangrove, coral, and watershed restoration.

It is expected that the proposed activity will build on other activities implemented by other USAID operating units. USAID/E3's Climate Resilient Infrastructure Services (CRIS) program (now ended) built local government capacity in Santo Domingo National District to reduce the vulnerability of key infrastructure to the negative effects of climate change, with a focus on the marginal neighborhoods of the "Northern Zone," which comprises the dense and poor neighborhoods of Ward 3, located on the western bank of the Ozama River and the southern bank of the Isabela River. This activity will continue working with the key CRIS government and community stakeholders to expand on the lessons learned from CRIS.

VIII. Other Considerations

In addition to the above, the successful application will take into account the following aspects:

Collaboration with Municipalities: Close coordination with the targeted municipalities under CLIMA and other government entities is required to identify priorities and coordinate adaptation efforts. Activity work plans will be developed with the substantial involvement of each municipality, or at a minimum with their written concurrence.

Coordination with USAID Activities and Other Organizations' Climate Change Adaptation Efforts: USAID expects climate change adaptation activities will be complementary and not duplicative of the efforts conducted by other groups and/or funded by other donors. Activities that reflect close coordination with other efforts will be favored, especially those funded by USAID. It is expected that some potential on-the-ground activities in the proposed target locations may have already been identified by on-going CLIMA partners.

Climate Change Results Framework: CLIMA project components have been designed to be mutually supportive and complementary, contributing to the USAID Climate Change Results Framework. USAID envisions that this CLIMA activity will collaborate with existing partners to expand the scale of impacts of activities and contribute to long-term approaches for the planning and development of critical small-scale infrastructure.

Among CLIMA implementing partners considerable synergy will be achieved in part via participation in joint programmatic meetings with all CLIMA partners and related collaborators, and various training, networking, planning and assessment activities throughout the program's life. Meetings and interactions will focus on collaborative identification of training, networking, and other needs and interests, as well as program-wide strategies. This collaborative process has

so far resulted in the development of a CLIMA-wide Monitoring and Evaluation plan, a capacity building plan, and a communications strategy.

The development objective sought under USAID-CLIMA is being achieved via the implementation of a number of adaptation approaches, which USAID has organized into three primary activities: 1) Improvement of access to climate information; 2) Improved land use planning; and 3) Implementation of adaptation measures. These activities are being implemented in an integrated fashion to ensure that USAID's target organizations and communities are receiving the benefits of the complete intervention rather than just one or two of the components. The applicant will link/collaborate with other CLIMA implementation partners as envisioned in the following ways:

- CLIMA-Info and CLIMA-Plan linkage: Given the overlap between stakeholders in CLIMA-Info and CLIMA-Plan and the goal of linking climate information supported under CLIMA-Info to the planning activities of CLIMA-Plan, the creation of a coalition of partners to integrate activities will be pursued. The achievement of overlapping tasks will be the responsibility of all implementing partners.
- CLIMA-Plan and CLIMA-Adapt linkage: Although the implementation interventions of CLIMA-Adapt will not wait for the completion of a municipal plan, it is also critical that CLIMA-Plan and CLIMA-Adapt are coordinated to ensure that implementation is not divorced from the planning process. For each adaptation strategy that is supported, a coalition or committee will be developed to guide its implementation. At a minimum, this coalition will include the municipality, community groups, such as "*juntas de vecinos*", and the implementing partners. Other potential partners include "mancomunidades" (metropolitan commonwealths) and central government partners, such as "Dirección General de Ordenamiento y Desarrollo Territorial (DGODT) and Federación Dominicana de Municipios (FEDOMU).

The implementing partner will also work closely with other activities aimed at achieving USAID/DR's climate resilience development objective. This will include coordinating work plans and building in specific areas of collaboration to achieve efficiency and greater impact. The USFS is under agreement with USAID/DR to provide technical support to municipalities and community organizations on relevant technical issues, such as green infrastructure and vulnerability screening. Specific USFS assistance could include support for green roofs, greening of sidewalks and other urban infrastructure, biocorridors/infiltration zones, and urban water recycling/use. It could also include specific support to municipalities by USFS hydrologists and green infrastructure specialists to assess the possibility and provide recommendations on utilizing green infrastructure to manage and mitigate storm water to improve water quality.

The applicant is expected to coordinate with USAID's Crime Prevention program given activities may overlap with the activities under CLIMA-Plan, both geographically and technically. Community and youth organizations engaged may also be leveraged for public participation in both planning activities and on-the-ground implementation. Additionally, CLIMA-Plan may coordinate with the Crime Prevention Program implementers to further resilience to climate change in vocational programs and placement of at-risk youth within the tourism industry, which is increasingly threatened by the impacts of climate change.

Gender: USAID requires gender analyses for each project that identifies obstacles to gender equality and addresses those obstacles in order to diminish gender inequities. Applicants shall indicate how they will analyze and address gender issues in the planning and implementation of the program.

Some of the findings from a USAID gender analysis recommend considering the following for activity design to address gender dynamics and differences, such as:

- Ensuring that activity planning involves vulnerable populations, such as youth, people of Haitian descent, women, LGBT persons, persons with disabilities, etc. across socio-economic levels.
- Including gender-sensitive indicators to measure inclusive and meaningful participation, such as number of times women vs. men spoke in meetings and/or a periodic survey that asks representative members of the community whether they feel that the issues important to them are being discussed/addressed.
- Creating a child and family friendly environment for public participation in the activity planning process.
- Including a gender/social component in the assessment of information access and ICT use, preferred method for information dissemination, and the utility of various types of weather and disaster risk reduction-related information.

The Applicant should describe specific approaches and methodologies that will be used in a substantive and integrated manner to address gender constraints and how the applicant will capitalize on opportunities provided by the activity to reduce inequalities between men and women. The application should consider the proposed activities' impact on men and women of all ages. For more guidance on gender analysis and integration, please see the following references:

USAID Gender Equality and Female Empowerment Policy

http://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf

ADS Chapter 205 “Integrating Gender Equality and Female Empowerment in USAID’s Program Cycle, <http://www.usaid.gov/sites/default/files/documents/1870/205.pdf>

Persons with Disabilities: The activities shall not discriminate against people with disabilities and shall comply with the objectives of USAID Disability Policy (http://pdf.usaid.gov/pdf_docs/PDABQ631.pdf) in executing the program. The application should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities into the activities, possibly as both contributors to activity implementation or as users of climate information.

Public-private partnerships: USAID strongly encourages applicants to promote and foster public-private partnerships to the extent possible. USAID seeks opportunities to partner with the private sector to contribute in the design, funding, and implementation of actions to increase resilience and better adapt to the potential threat of climate change. Strategic partnerships are a way to engage public and private actors to complement each other on a common goal. By joining forces, our assistance to the people of Dominican Republic can be significantly expanded.

Environmental Compliance and Reviews: Compliance to USAID Environmental Procedures (22 CFR 216: <http://www.usaid.gov/sites/default/files/documents/2151/reg216.pdf>), including appropriate mitigation and monitoring measures, should be considered an integral part of all activity development. In accordance with USAID’s recognition that environmental issues are important considerations in development, the applicant must include in the application explanations regarding measures they intend to take to deal with environmental impacts resulting from activity implementation. The successful applicant will be required to complete an Environmental Monitoring and Mitigation Plan to describe mitigation measures necessary for on-the-ground activities.

Local participation, non-traditional partners and dependency: USAID/DR strongly encourages applicants to (1) consider using local resources (goods and services) to the maximum extent possible; (2) consider local resources as both a development tool and a means toward decreasing dependency (and increasing sustainability) while building local capacity; (3) consider the macro-economic multiplier effect of activity grants, other resources, and salaries paid locally; and (4) consider the use of U.S. and international sub-grantees and sub-contractors to supplement applicant skill sets, experience, and resource base if necessary.

Geographic Information Systems: For the purpose of improved activity monitoring the applicant is asked to maintain a geographic information system (GIS) containing all physical project activities and, on a quarterly basis, provide USAID with updated maps and geographic coordinates for all activities implemented with funds provided through this award. At project’s

end the awardee will provide USAID with hard and soft copy maps, shape files and other core data on DVD as part of its final report.

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide \$1,800,000.00 in total USAID funding over a three (3) year period. The ceiling for this activity is \$2,117,647 – including cost share. Actual funding amounts are subject to availability of funds.

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity.

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

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is three (3) years. The estimated start date will be upon the signature of the award, on or about.

3. Substantial Involvement

a. Approval of Recipient's Implementation Plan:

Annual Implementation Plan Guidelines: within 45 days after the effective date of the Cooperative Agreement, the Recipient shall submit a first year Annual Implementation Plan and a detailed implementation plan that extends from the Award Date to the Termination Date. Thereafter, on an annual basis, by September 1st of each year, the recipient shall prepare and provide for USAID's review and subsequent approval an Annual Implementation Plan, also referred to as a "work plan". USAID will approve said plans within 30 days or request revisions in writing. The Annual Implementation Plan must include:

- A description of activities to be undertaken (including activities covered by cost- shared funding), detailing how activities will be implemented, those responsible for activity implementation, and the general location of these activities.
- Proposed accomplishments for the fiscal year and expected progress toward achieving results that are linked to the M&E plan.
- A description of any informational, communication, education and training and instructional/learning materials planned. The "concept" for these materials will be submitted to the AOR for approval at the design stage prior to printing, reproducing, disseminating or airing. AOR approval will focus on the materials' technical content, presentation, and compliance with the Agency Branding Strategy and Marking Plan. The Recipient must ensure that all branding and marking specifications laid out in the

Branding Strategy and Marking Plan have been followed prior to submitting the materials for AOR approval.

- A timeline for implementation of the year's proposed activities, including target completion dates.
- The proposed Monitoring, Verification and Evaluation Plan.
- Analysis of possible obstacles hindering achievement of objectives and/or opportunities that would enhance program effectiveness.
- Any significant proposed changes from the scope of the program detailed in the initial application.
- A general overview of progress made to date towards objectives, beginning in year two.
- List of any and all anticipated international travel.

The Recipient must consult with relevant partners and stakeholders to develop the first Annual Implementation Plan, and consult with USAID as appropriate. This Annual Implementation Plan may be modified by the Recipient to accommodate the changing policy environment or to account for other unanticipated programs, or to formalize activities in response to USAID or Ministries requests for modified or unanticipated activities, or to incorporate USAID's request for the use of special funds. Justification for any significant changes in scope must be provided. All modified implementation plans require the approval of the USAID AOR.

b. Approval of Specified Key Personnel:

- Project Director
- Technical Content Specialist (TCS)
- Financial Specialist
- Monitoring and Evaluation Specialist

c. Agency and Recipient Collaboration or Joint Participation: Approval of sub-awards, for the selection of partners and substantive provisions being incorporated.

d. Agency Authority to Immediately Halt Construction Activities.

4. Title to Property

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of 2 CFR 200 and 2 CFR 700.

5. Authorized Geographic Code

The geographic code for this program is **937**.

6. Purpose of the Award

The principal purpose of the relationship with the Recipient and under the subject Activity is to transfer funds to accomplish a public purpose of support or stimulation of the Urban Resilience to Climate Change Project (CLIMA - acronym for the project's Spanish name *Ciudades Líderes en Iniciativas y Metas de Adaptación*), specifically the **Climate Risk Reduction Activity**, which is authorized by Federal statute.

The successful Recipient will be responsible for ensuring the achievement of the activity objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, activity objectives, and the terms and conditions of the Federal award. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

Only local organizations as defined below are eligible for award. USAID defines a local organization as one that:

- Is organized under the laws of the recipient country;
- Has its principal place of business in the Dominican Republic
- Is majority-owned by individuals who are citizens or lawful permanent residents of the recipient country or is managed by the governing body, the majority of whose members are citizens or lawful permanent residents of the Dominican Republic and
- Is not controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the Dominican Republic.

The term “control” or controlled by” in the above definition means having a majority ownership or beneficially interest, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law. The term “Foreign Entity” means an organization that fail to meet any part of the “local organization” definition.

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

Applications for renewal or supplementation of existing projects are eligible to compete with applications for new Federal awards.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

USAID has established a required cost share of \$317,647 (15% of total activity amount which is \$2,117,647) for the recipient of the award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements 2 CFR 200.29

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Linda McElroy
Agreement Officer
Av. República de Colombia # 57
Santo Domingo, Dominican Republic
Phone 809-368-7505

Claudia Molina
Assistance Specialist
Av. República de Colombia # 57
Santo Domingo, Dominican Republic
Phone 809-368-7246

E-mail dropportunities@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to Linda McElroy and Claudia Molina to the e-mail address above.

Questions regarding this NFO should be submitted via email no later than April 25, 2016 at 15:00 hours Dominican local time (Dlt) to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Form of Application Submission

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Each Applicant shall furnish the information required by this NFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

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

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

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wished to restrict with the following legend:

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

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

3. Application Submission Procedures

It is the Applicant’s responsibility to ensure that all necessary documentation is complete and received on time.

Applicants may upload applications to <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Application must be submitted to dropportunities@usaid.gov and if you are experiencing difficulty with submission, please contact Claudia Molina at phone 809-368-7246.

For an application sent by multiple emails, please indicate in the subject line the of the email the NFO number, whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: “[NFO RFA-517-16-000004] [organization name], Cost Application, Part 1 of 2”.

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic

applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

4. Technical Application Format

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application should be specific, complete and presented concisely. The application should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and evaluation criteria found in this NFO.

The formation of a manageable and cost effective consortium is encouraged. USAID encourages creative partnerships and innovative approaches. Applicants should be realistic in stating what can be achieved given the proposed activities, budget and timeline.

Technical applications must be written in English and on letter size paper (8.5"x 11"), single spaced, 12 font size, and have standard one-inch margins (Top, bottom, left, and right sides of the paper). All charts, tables and spreadsheets must not be less than 10 font size. All files submitted must be compatible with Microsoft Office in a MS Windows environment and/or Adobe Acrobat (.pdf) (*Text within the files must be accessible and not password protected*).

The length of the Technical Application shall not exceed 25 pages and must include the following three components: 1. *Cover Page*; 2. *Technical Description*; and, 3. *Attachments*. Please note that applicants must address all sub-components. Please organize the application according to the outline below:

1. *Cover Page (Does not count towards page limit)*

- Name and address of organization;
- Contact person (lead contact name, telephone number, and e-mail information); and,
- Title of proposed activity.

2. *Technical Description (25 pages maximum)*

- *Executive Summary*: A brief explanation of the overall approach of the activity, major objectives, activities and expected results. Brief explanation of partners and geographical location.

- *Situation analysis and location:* A brief background on the specific development challenge/opportunity to be addressed; include a description of the target population and how and where this activity concept originated (for example: findings from/ the continuation of a different project; through an assessment of country/district level data, etc.); and justification for why the applicant is the appropriate entity for addressing the identified development challenge effectively and in the long-term, and/or generating catalytic change leading to scalable development impact. An explanation of the geographical location(s) where the project will work and how selection was performed.
- *Proposed approach:* The proposed approach to this development challenge/opportunity; theory of change, include goals, objectives, methods (activities), and anticipated results which are logically connected and effectively address the challenge. Describe how the activity will measure success and why the Applicant's organization is well suited to achieve the proposed objectives. Include innovative or scalable methods or approaches, if any, including associated risks and benefits. A results framework for the overall activity will be useful to understand the Applicant's approach.
- *Sustainability and Capacity Development:* A discussion of sustainability: How will the activities be sustained beyond the life of the award? A description of how the Applicant will build capacities of local stakeholders. For this component, applicants must submit a description of their plan for assessing organizational capacity to meet USAID requirements and to implement effective and sustainable programming; and the capacity development objectives and activities they would undertake.
- *Coordination with other activities:* How will achieving these objectives contribute to the accomplishment of USAID/DR's strategic goals and contribute to Agency priorities? How will the program integrate with and reinforce the ongoing and planned activities of the overall CLIMA program? How will coordination and selection of specific sites and activities be undertaken? Describe the roles of proposed partners; why each was selected and how the Applicant will work with these partners, as appropriate. Describe how the proposed activities will assist local government and enhance governance in regard to climate change adaptation and community resilience. Also, the extent to which the proposed activities will complement other donor projects and GODR service provision.
- *Performance Monitoring Plan:* A description of the proposed monitoring plan with estimated targets and timelines to accomplish objectives. How will the applicant monitor progress towards its established goals and verify activity accomplishment? How will Geographic Information Systems be utilized to monitor and document the implementation of program activities?
- *Gender Approach:* A description of how the activity will recognize the different roles of men and women, LGBT, PWD in the management of climate change adaption and its implication for project implementation and results completion. Discuss how the proposed project positively impacts men and women differently, how the project design incorporates gender concerns; describe plan for outreach and capacity building; and outline expected impacts.

- *Institutional Capability and Past Performance:* The extent to which the applicant's organizational capacity, staffing and partnership arrangements demonstrate institutional expertise and commitment towards achieving the activity's objectives, developing sustainable local capabilities, and integration with other USAID and donor projects. Demonstration of completion of similar types of technical work is required.

3. *Attachments (No page limit; but please be as concise as possible)*

- Concise description of the Applicant's development program experience including project descriptions, results and evaluations;
- A brief statement of the history of the organization; its primary development focus, capabilities and challenges;
- Proposed technical staff roles and responsibilities;
- Resumes/CVs of key personnel; and,
- Period of performance (i.e. life of activity) work plan.

5. Cost Application Format

The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A. Standard Forms can be accessed electronically at www.grants.gov.

The Cost or Business application is to be submitted under a separate cover from the Technical application. The Cost/Business application is also to be submitted on CD in Microsoft Excel 2000 or Excel 2003 (with unlocked cells and formulas available). The Applicant is requested to submit a budget broken down by activity years with an accompanying detailed budget narrative (in Word text accessible) which provides in detail the total costs for implementation of the activity as further detailed below.

Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources. There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NFO is not desired. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

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

1. The budget must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).
2. A budget for each program year with an accompanying detailed budget narrative which provides in detail the total costs for implementation of the program. The budget must be submitted using Standard Form 424 which can be downloaded from the following web site at: <http://apply07.grants.gov/apply/FormLinks?family=15>
3. A breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional and/or country offices.
4. Applicants who intend to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The cost/business application should contain the budget categories: as shown on the SF-424A.

The detailed budget (In MS Excel file format) and accompanying budget narrative (in MS Word file format) documents shall mirror and reflect one another. The budget narrative shall have appropriate headings that match those of the Detailed Budget. For example, the budget narrative shall explain how personnel salaries and wages were determined and give the appropriate rationale under the salaries and wages heading and the Detailed Budget shall display the estimated costs for salaries and wages under the salaries and wages budget cost element. The budget narrative shall explain in as much detail as possible how costs were derived and the methodologies used to derive and estimate costs. The detailed budget MS Excel worksheet shall

display the estimated costs proposed for each budget cost element. The detailed budget MS Excel worksheet (*See table template below*) should contain the following cost elements at a minimum:

- *Salary and Wages:* Direct salaries and wages shall be proposed in accordance with the applicant's personnel policies.
- *Fringe Benefits:* If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
- *Travel:* The application shall indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- *Equipment:* The budget shall provide the estimated types of equipment to be used on this project. The cost per unit, quantity and total cost per item shall be provided.
- *Supplies:* The budget shall specify the supply items related to this activity.
- *Contractual:* The applicant shall identify any goods and services being procured through a contact mechanism, including sub-awards.
- *Other Direct Costs:* This includes, but is not limited to: communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.
- *Indirect Costs:* The applicant shall support the proposed indirect cost rate with a letter from a cognizant U.S. Federal Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or include in the accompanying budget narrative sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).
- *Cost Share:* Please see section III – Eligibility Information, Part B for more information on cost sharing. Cost sharing will be a condition of the award when it is made part of the approved award budget. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 2CFR 200.306, and can be audited. If the recipient does not meet its cost sharing requirement, it can result in questioned costs. For this RFA, A cost-share or match of **15 percent** or more is expected. Amount and source of cost share

contribution in cash or in kind, by Applicant; submit information indicating the financial and/or in-kind resources to be leveraged. Submit a written commitment by other organizations, partners, donors or individuals to share costs.

Cost Element		Year 1	Year 2	Year 3	TOTALS (US\$)
		Total	Total	Total	
a.	Salary and Wages				
b.	Fringe Benefits				
c.	Travel				
d.	Equipment				
e.	Supplies				
f.	Contractual				
g.	Other Direct Costs				
h.	Total Direct Costs (<i>Sum of a-g</i>)				
i.	Indirect Costs				
j.	Cost Share (<i>15%</i>)				
k.	TOTALS (<i>Sum of h-j</i>)				

Budget MS Excel worksheet template

The Applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the Applicant should submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or

issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.

Cost Sharing: The Applicants should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Cooperative Agreement.

The business section of the cost/business application should include:

1. Required assurances, certifications and representations;
2. Evidence of responsible the Agreement Officer can use to determine the Applicant:
 - a. Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
 - b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
 - c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 - d. Has a satisfactory record of integrity and business ethics; and
 - e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).
3. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).
4. Statutory and Regulation Certifications

The Applicant shall complete the certifications in Section IV, **B. Required Certifications** and sign and date in the signature space provided. The signed and dated printout must then be submitted with the application as an annex to the cost application. Original signed hardcopy of the certifications will be requested from the successful applicant prior to the agreement award.

6. Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. **Applicants should not submit the information below with their applications!** The information in this section is provided so that

Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:

The information submitted should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.
2. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same

7. Required Certifications

The Recipient must submit the following certifications, assurances, and other statements:

- a. A signed copy of [ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions](#), which includes:
 1. **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs** (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
 2. **Certification Regarding Lobbying (22 CFR 227)**;
 3. **Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206, Prohibition of Assistance to Drug Traffickers)**;
 4. **Certification Regarding Terrorist Financing**;
 5. **Certification Regarding Trafficking in Persons**; and
 6. **Certification of Recipient**
- b. Other certifications and statements found in [ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions](#):
 1. A signed copy of **Key Individual Certification Narcotics Offenses and Drug Trafficking, (ADS 206.3.10)** when applicable;
 2. A signed copy of **Participant Certification Narcotics Offenses and Drug Trafficking (ADS 206.3.10)** when applicable;
 3. **Other Statements of Recipients.**

8. Unique Entity Identifier and System for Award Management

Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. Each applicant is required to:

- i. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;
- ii. Provide a valid unique entity identifier in its application; and
- iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

9. Funding Restrictions

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

Construction will be considered an allowable component and the Recipient will be authorized to implement activities that fall within USAID's Limitation on Construction under Assistance awards (see ADS 303.3.30).

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SECTION E: APPLICATION REVIEW INFORMATION

1. Merit Review Criteria

Each application submitted in response to this NFO will be reviewed according to the process set forth below. The applicant should note that these criteria serve to: (a) identify the significant matters that the applicant should address in their applications and (b) set the standard against which application will be evaluated.

A Selection Committee (SC) will evaluate the application according to the criteria described below. Committee members will examine the logic, feasibility and appropriateness of the technical approach, including responsiveness to cross-cutting themes, indicators and anticipated development results or impacts; quality and availability of personnel in response to stated qualifications or requirements; and several institutional factors.

To make an objective evaluation possible, applicants must clearly demonstrate how the organization and the application meet these criteria. An Assistance Agreement may be awarded to the applicant representing the overall best value to the U.S. Government.

2. Review and Selection Process

A. Technical Review

The selection committee will focus on the applicant's overall ability to achieve results under the framework provided in this NFO. The technical criteria are broken down into three factors using the following Merit Review Criteria in descending order of relevance and the sub-criteria being of equal importance.

a) Technical Approach (50 points)

1. Usefulness and likelihood that proposed tasks will contribute to improved access to clean water, gray/black water management, and flood and erosion control; and strengthen local stakeholders in the areas of intervention, with well-defined, achievable, scalable and measurable results and meaningful milestones. A strong application will provide convincing evidence of the applicant's understanding of the tasks it proposes to carry out, and their relationship to the objectives and performance indicators outlined in the NFO. The application will be evaluated for the coherency and clarity of the proposed tasks, as well as the level of impact the proposed approach is expected to have on at implementing the activity.

2. A clear explanation of how close coordination will be achieved with Government of the Dominican Republic's agencies, municipalities, existing CLIMA partners, other USAID programs (i.e. under Crime Prevention and other climate change activities), other donors, private sector, and civil society organizations is critical. The tasks planned should be based on a sound understanding of the current USAID Country Strategy for the Dominican Republic (2014-2018).
3. Explanation of the sustainability of proposed activities or outcomes beyond the award period;
 - a. Extent to which the applicant brings additional resource leveraging and engagement of the private sector. Ability to build potential public-private partnerships for long-term sustainability.
 - b. Extent to which proposed activities are likely to be adopted and/or scaled up by partners, other municipalities, implementing agencies and the Government of the Dominican Republic.
4. Extent to which the applicant builds inclusive development considerations (i.e. gender, people with disabilities, among others) into plans, tasks and implementation.

b) Activity Management (35 points)

1. The extent to which the applicant's organizational capacity, staffing and partnership arrangements demonstrate institutional capability, expertise and commitment towards achieving the activity's objectives, developing sustainable local capabilities, and integration with other USAID CLIMA activities. Experience in the Dominican Republic, including experience in working with and supporting community-based organizations and municipalities, as appropriate.
2. The applicant's plan for management, decision-making, and division of responsibilities for effectively providing the technical assistance and small-scale engineering expertise required under this NFO. In addition, the strategies for working in close collaboration with and obtaining appropriate levels of participation and support from key local and national organizations and other implementers of CLIMA activities, as well as coordination with USAID funded Crime Prevention (Development Objective 1) implementing partners and USAID itself.
3. USAID will evaluate the capabilities of proposed staff to determine how well their skills and abilities are matched with the proposed activities and level of assigned responsibilities. Key personnel must have experience working in the Latin American/Caribbean region and/or the Dominican Republic, particularly in the thematic

areas described in Section A. This evaluation will focus on the educational level, demonstrated experience, and specialized skills of the proposed staff in relation to the actual program activities proposed. All key personnel must have a minimum Spanish/English language ability at a 3/3 level.

c) **Past Performance (15 points)**

1. USAID will evaluate the degree to which the applicant has a demonstrated and successful past and current track record in the region and in the Dominican Republic. Experience in the similar subject areas as described in the NFO will have more weight in this evaluation criterion. Similarity is defined in terms of the types of programs – implementing, monitoring, and reporting on similar or closely related activities to those contained in the program description. As a result, both the relevance of the work performed by an applicant in the past and how well it performed that work will be evaluated.

B. Cost Review

While Cost is less important than technical and is not weighted, however, the cost applications of the apparently successful technical applications will be evaluated for cost effectiveness including the level of proposed cost share. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the activity. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

Cost Sharing

USAID has established a suggested cost share of 15 percent of the Award's projected value of \$2,352,941 for the recipient of the award. Leveraged non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicants cost share contributions (e.g. categories or items) meet the standards set in 2CFR 200

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

A notice of award signed by the AO is the authorizing document and USAID will provide it electronically, to the successful applicant. Unsuccessful applicants will be notified electronically and requests for additional information will be considered if requested.

Award of the agreement contemplated by this NFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

2. Administrative & Policy Requirements

USAID Automated Directive System (ADS), Chapter 303, contains USAID policy and procedures concerning "Grants and Cooperative Agreements to Non-governmental Organizations" and is available on our website: <http://www.usaid.gov/ads/policy/300/303>.

Award resulting from this NFO will be administered in accordance with the Standard Provisions for Non-U.S., Non-Governmental Recipients. While 2 CFR 200 and 2 CFR 700 does not directly apply to Non-U.S. applicants, the Agreement Officer will use the standards of 2 CFR 200 and 2 CFR 700 in the administration of the award.

Standard Provisions for Non-U.S. Non-Governmental Recipients are found at <http://www.usaid.gov/policy/ads/300/303mab.pdf>

2 CFR 200 can be found at:

http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

Please note that copies of the referenced documents may also be requested from the agency points of contact listed in this NFO.

Also, all awards resulting from this NFO will include language prohibiting transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism; the same will be required in all sub-contracts and sub-awards.

3. Reporting Requirements

The Recipient is responsible for oversight of the operations of the Federal award supported activities. The Recipient must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by the non-Federal entity must cover each program, function or activity. See also §200.331 Requirements for pass-through entities.

Financial Reporting:

The Recipient shall submit an electronic copy via e-mail of the [Standard Form 425](#) or [Standard Form 425a](#), Federal Financial Report, on a quarterly basis to the Agreement Officer (AO), and the Agreement Officer Representative (AOR), unless notified of a change in AO or AOR, in which you would then send the documents to the replacement.

Performance Reporting

The Recipient shall submit an electronic copy via e-mail of a performance report to, the Agreement Officer Representative (AOR), unless notified of a change in AO and AOR, in which you would then send the documents to the replacement. The performance reports are required to be submitted on a quarterly basis.

Development Experience Clearinghouse Requirements

The Recipient shall submit an electronic copy via e-mail of the final report to the AO, AOR, and one copy, in electronic (preferred) or paper form of final documents to one of the following addresses: (a) Via E-mail: docsubmit@dec.cdie.org; (b) Via U.S. Postal Service: Development Experience Clearinghouse; 8403 Colesville Road, Suite 210; Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

4. Branding & Marking:

MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (DECEMBER 2014)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline “from the American people”, unless amended by USAID to include additional or substitute use of a logo or seal and tagline representing a presidential initiative or other high level interagency initiative. The standard USAID logo must be used unless the award requires use of an additional or substitute logo. The USAID Identity (including any required presidential initiative or related identity) is available on the USAID Web site at

www.usaid.gov. Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

- (1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;
- (2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;
- (3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
- (4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
- (5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and “public communications” (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer’s Representative (AOR) and to USAID’s Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide."

e. Any “public communication” in which the content has not been approved by USAID must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

f. The recipient must provide the USAID AOR, with two copies of all program and communications materials produced under this award.

g. The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

- (1) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
- (2) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
- (3) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;
- (4) Impair the functionality of an item;
- (5) Incur substantial costs or be impractical;
- (6) Offend local cultural or social norms, or be considered inappropriate; or
- (7) Conflict with international law.

h. The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.

- (1) Approved waivers “flow down” to subawards and contracts unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
- (2) USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant Administrator.

- i. The recipient must include the following marking provision in any subagreements entered into under this award:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s, or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The points of contact (POC) for questions while the funding opportunity is open are:

Linda McElroy
Agreement Officer
Av. República de Colombia # 57
Santo Domingo, Dominican Republic
Phone 809-368-7505

Claudia Molina
Assistance Specialist
Av. República de Colombia # 57
Santo Domingo, Dominican Republic
Phone 809-368-7246

E-mail droppportunities@usaid.gov

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SECTION H: OTHER INFORMATION

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

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