Issuance Date:	January 27, 2020
Deadline for Receipt of Written Questions:	February 21, 2020
Deadline for Submission of Concept Papers (First Round):	**June 15, 2020**
Deadline for Submission of Full Applications, if Requested (First Round):	**September 22, 2020**
Submission of Revised Applications, if Requested	TBD
Anticipated Deadline for Receipt of Written Questions (Subsequent Rounds):	TBD
Anticipated Deadline for Submission of Concept Papers (Subsequent Rounds):	TBD
Anticipated Deadline for Submission of Full Applications, if Requested (Subsequent Rounds):	TBD
Deadline for Submission of Revised Applications, if Requested (Subsequent Rounds):	TBD

Subject: Notice of Funding Opportunity (NFO)
Annual Program Statement
Solicitation Number: 720FDA20APS00001
Localization of Disaster Risk Reduction in the Pacific

Greetings:

Pursuant to the Foreign Assistance Act (FAA) of 1961, as amended, the United States Government (USG), represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA), is seeking a partner(s) to manage and implement the subject project(s) or program(s), which is (are) described in more detail in Section I of this NFO. The applicable Catalog of Federal Domestic Assistance (CFDA) Number is 98.001 entitled *USAID Foreign Assistance for Programs Overseas*.

Subject to availability, USAID intends to obligate the amount of funds described in Section II of this NFO, which also describes the number, amount(s), and type(s) of award(s) anticipated to be made by USAID, as well as the anticipated start-date(s) and period(s) of performance. If a fixed amount award or cooperative agreement(s) – as opposed to a grant(s) – is (are) planned, Section II also describes the area(s) in which USAID will be substantially involved in the implementation and performance of the project(s) or program(s) and the management and administration of the award(s).

Organizational eligibility for an award(s) is described in Section III of this NFO. Section III also specifies applicable cost-sharing (matching) requirements, as well as other factors that affect the eligibility of applicants for an award(s).

Section IV of this NFO describes where and how to obtain copies of this NFO and any future amendments hereto, as well as the due-dates and means for submitting responses to this NFO and the content and form of such responses. Section IV also describes various funding restrictions that applicants should consider when responding to this NFO. Applicants should note the requirement in Section IV (as well as Section III) for an applicant to have a unique entity identifier (DUNS Number) and to be registered in the USG's System for Award Management (SAM). In addition to being eligible under Section III, in order to be considered for an award, applicants must be responsive to, and submit all of the information required by, Section IV of this NFO. Failure to do so may result in rejection of the applicant's submission.

Submissions will be evaluated, and award(s) will be made, as described in Section V of this NFO, which also specifies the anticipated times when decisions and award(s) will be made by USAID.

Section VI of this NFO describes when and how applicants will be notified of USAID's decisions regarding the award(s) resulting from this NFO, as well as the terms and conditions that will apply to the award(s). Applicants should take this information into account when preparing their submissions.

Please send any questions to the point(s) of contact identified in Section VII of the NFO. The means for submitting questions and the deadline for receipt of questions is shown in Section IV.D.1.

Additional information, which may be helpful to applicants is set forth in Section VIII of this NFO.

OFDA's *Application Guidelines* (2019) can be accessed through the following link under "Submitting an Application" heading: http://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources. Note that the guidance and requirements outlined in Annual Program Statements supersede the *Guidelines*. However, the *Guidelines* are applicable regardless of whether OFDA solicits applications (such as this APS) or whether an organization submits an unsolicited application. Thus, in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

The preferred method of distribution of USAID NFOs and amendments to such NFOs is electronically via http://www.grants.gov ("Grants.gov"), which provides a single source for USG-wide competitive grant and cooperative agreement opportunities. Any future amendments to this NFO can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the NFO or related documents, the applicant should contact the Grants.gov Helpdesk at: 1-800-518-4726 or via email at support@grants.gov for technical assistance. It is the responsibility of the applicant of this NFO and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this NFO. It is important that interested organizations sign-up for email updates with Grants.gov so they are alerted to any changes posted to this and other USG (including USAID) NFOs.

Applications from your organization must be received no later than the deadline(s) set forth in Section IV.D of the NFO. Submissions received after the deadline may not be considered, except as described in Section IV.D. of this NFO.

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

Issuance of this NFO does not constitute a commitment by USAID to award funding, and USAID will not pay for costs incurred by applicants in responding to this NFO. All preparation and submission costs are at the applicant's expense, and all submissions are made at the sole risk of the applicant. Further, USAID reserves the right to reject any or all submissions received.

Thank you for your interest in USAID programs.

Sincerely,

/s/
Renee Newton
Agreement Officer
Office of Acquisition and Assistance
M/OAA/DCHA/OFDA

SECTION I – PROGRAM DESCRIPTION

I.A. AUTHORITY

Pursuant to the authority in the Foreign Assistance Act (FAA) of 1961, as amended, the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA), is seeking to support or stimulate the activities described in Section I.B below. See Section VI.B of this NFO for a complete description of the administrative requirements that will apply to the award(s) resulting from this NFO. To the extent described therein, 2 CFR 200 and 2 CFR 700 will apply to the award(s) resulting from this NFO.

I.B. SPECIFIC PROGRAM GUIDANCE

I.B.1. Background

(a) General

Section 491 of the FAA authorizes USG relief, rehabilitation, and reconstruction assistance for natural and human-caused disasters abroad, as well as disaster risk reduction (DRR) activities designed to prevent, mitigate, and prepare for foreign disasters in order to reduce the risks and impacts of natural hazards.

Pursuant to Section 493 of the FAA, the USAID Administrator has been appointed as the President's Special Coordinator for International Disaster Assistance, with responsibility to promote maximum effectiveness and coordination by USG agencies and between the U.S. and other donors in response to foreign disasters. OFDA is part of USAID's DCHA Bureau, and provides technical support to the USAID Administrator (as the President's Special Coordinator for International Disaster Assistance). USAID/OFDA is designated as the lead USG office to provide and coordinate USG humanitarian assistance in response to foreign disasters. USAID/OFDA is the primary operating unit within USAID for the provision of international disaster assistance, except for emergency food assistance, where USAID's Office of Food for Peace (USAID/FFP) is considered the primary operating unit. To this end, the USAID/OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and DRR activities.

USAID/OFDA responds to all types of natural disasters overseas, including earthquakes, volcanic eruptions, cyclones, floods, droughts, fires, pest infestations, and disease outbreaks. USAID/OFDA also provides assistance when lives or livelihoods are threatened by catastrophes such as civil conflict, acts of terrorism, or industrial accidents. Disasters cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Foreign disasters comprise both acts of nature and acts of humankind that disrupt economic and social life. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- A violent act of nature, such as a flood, tsunami, typhoon, fire, earthquake, volcanic eruption, landslide, etc.;

- Secondary disasters such as floods, landslides, fires, or civil disturbances that may be triggered by rapid-onset disasters such as earthquakes or typhoons;

- A human-caused act, such as civil strife, border conflict, displacement of large numbers of people, explosion, fire, chemical spill, or radiological release affecting human lives;

- A complex emergency, usually of long-term duration, that includes a combination of humanitarian, political, and military dimensions which hinder the provision of external relief;

- A slowly developing catastrophe caused by nature, humankind's neglect, or both, such as drought, famine, or epidemic; or

- A potential calamity, including ecological threats menacing lives and property and requiring prevention or monitoring measures.

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

Through DRR activities, USAID/OFDA supports governments, communities, and civil society in reducing the risk of and preparing for natural disasters by safeguarding lives, livelihoods, services and facilities, ultimately increasing their resilience to adverse transitory events. USAID/OFDA supports DRR activities in three core areas:

- Prioritizing and strengthening early warning, preparedness, mitigation and prevention;

- Integrating preparedness and mitigation with disaster response, early recovery, and transition to foster resilience; and

- Supporting diversified, resilient livelihood strategies.

USAID/OFDA supports these core areas through capacity development and building local ownership at all levels by expanding partnerships and joint programming, and by taking timely and appropriate actions, thereby strengthening linkages between risk identification, monitoring, early warning, and early action. As local systems and actors are on the frontline of DRR issues, focusing on their capacities and capabilities will increase the effectiveness of strategic planning and efficiency of response. DRR activities take many forms, including, but not limited to:

- Disaster risk reduction activities, including hazard early warning systems with a focus on warnings getting to the last mile users, sustainable community-based DRR, and capacity building programs on various DRR sectors and others ;

- Management and maintenance of regional disaster supply stockpiles;

- Building capacity of community, local, national, and regional organizations or entities to improve preparedness to provide effective and timely disaster response;

- Dissemination of national disaster risk reduction policies and plans to communities and local governments, linking national policy and plans to those at local levels and implementation of national DRR policy and plans at all levels;

- Sensitization of communities to disaster risks, including risk identification and reduction activities;

- Building relationships between the private sector and other stakeholders to develop public-private partnership to reduce disaster risk and improve disaster management ;

- Development or strengthening of national disaster risk-reduction strategies, policies, and plans through involvement of and input from local governments, communities, civil society organizations and other relevant entities;

- Development and/or implementation of policies and plans at local or community levels guided by national DRR strategies, policies and plans;

- Facilitation and evaluation of adapting national strategies, policies, and plans to the local level;

- Development of DRR curricula for primary, secondary, and/or higher education; and

- Capacity building in disaster management.

(b) Specific

Background on USAID/OFDA DRR Programs in the Pacific

The 32 countries in the East Asia and the Pacific (EAP) region have varying economies and levels of development and capacity in dealing with natural hazards. Many countries in the region are highly vulnerable and exposed to hydrometeorological hazards, experiencing cyclones and severe weather events that can lead to droughts, floods, and landslides. Several EAP countries situated along the Pacific Ring of Fire also experience volcanic activity, earthquakes, and associated tsunamis. In FY 2018, USAID/OFDA continued to respond to disasters and support

DRR programs that strengthen the capacity of first responders, enhance and expand early warning systems, and increase disaster awareness and improve preparedness among at-risk communities. USAID/OFDA has focused DRR activities in the EAP region on strategic, context-specific programs designed to meet needs in each country and aimed at building local capacity towards the journey to self-reliance.

Examples of Recent Pacific Islands DRR Programs

Regional Programs

Building Disaster Management Capacity in FSM, Palau, and RMI: The Pacific Island countries of FSM, Palau, and RMI are vulnerable to a number of natural hazards, including drought, floods, and cyclones. With more than $500,000 in FY 2018 USAID/OFDA funding, the Marshall Islands Red Cross Society (MIRCS), Micronesia Red Cross Society (MRCS), and Palau Red Cross Society (PRCS)—supported by the International Federation of Red Cross and Red Crescent Societies (IFRC)—continue to partner with local government agencies, businesses, and communities to build awareness of disaster response activities and cultivate a trained volunteer base for emergency responses.

Supporting Early Warning Systems in the Pacific: Since 2009, USAID/OFDA has supported the National Oceanic and Atmospheric Administration (NOAA) to deploy “chatty beetles”—satellite terminals that make text messaging possible in areas with limited connectivity—to disseminate weather and hydrometeorological alerts and information to remote locations. The messaging system connects emergency managers and hydrometeorological warning authorities to provide basic notification of potential hazards to isolated communities that face limited communication options. In FY 2018, “chatty beetles” helped national meteorological and hydrological services and national disaster management agencies disseminate life-saving early warning alerts in FSM, Kiribati, Palau, RMI, Samoa, Solomon Islands, Tonga, and Vanuatu.

Supporting WFP Emergency Capacity and Preparedness: With prior year funding, USAID/OFDA continued to support the UN World Food Program (WFP) to bolster emergency logistics and telecommunications capacity across the Pacific—focusing on Fiji, Samoa, Solomon Islands, Tonga, and Vanuatu—in FY 2018. As part of this multi-year project, WFP worked with national and regional relief actors to improve assessment, coordination, equipment stocking, technical advisory services, and training capacity in the region. Through these activities, WFP aims to strengthen operational capacity among national disaster management offices and their local partners, and develop infrastructure to prevent and respond to disasters.

Country-Specific Programs

Fiji

Building Resilient Communities in Disaster-Prone Areas: USAID/OFDA has supported the multi-year Building Resilient Communities in Fiji program in several of the country’s disaster-prone areas. Through partner IFRC, program activities included collaborating with the Fiji Red Cross Society to build disaster management capacity and working with community members to facilitate assessment and early warning systems trainings to reduce disaster risk.

FSM and RMI

Bolstering Disaster Response Capacity: USAID/OFDA, with $1.5 million in FY 2018 funding, continued supporting a multi-year American Red Cross (AmCross) program implemented with MRCS to build local capacity and reduce communities' vulnerability to disaster risks in FSM by improving sanitation infrastructure and increasing water supply. In FY 2018, USAID/OFDA funding continued to support AmCross to address water, sanitation, and hygiene (WASH) needs in disaster-prone areas, including through hygiene promotion activities and rehabilitation of sanitation facilities.

Increasing Resilience Among Vulnerable Communities in FSM: In FY 2018, USAID/OFDA provided nearly $1.6 million to Catholic Relief Services (CRS) to expand on previous efforts to bolster the capacity of local authorities and communities on FSM's Yap Island to prepare for and recover from frequently occurring natural hazards, such as drought and typhoons. With USAID/OFDA support, CRS is facilitating the development of a national disaster risk management and climate adaptation plan; training households to develop and adopt household-level preparedness plans; promoting effective hygiene practices; and supporting 600 vulnerable households to diversify or enhance agricultural livelihood strategies, thereby ensuring food sources and agricultural livelihoods are resilient to drought and typhoons.

Reducing Vulnerabilities Through School Collaborations: USAID/OFDA has supported IOM to implement the Community Adaptation, Disaster Risk Reduction, and Education (CADRE+) program in FSM and RMI. The CADRE+ program targets 4,500 school-aged children, 300 educators, and 7,500 community members with activities to improve resilience to natural and climate-related hazards. Program activities include establishing community disaster preparedness and response committees, developing school emergency management plans, training teachers in climate adaptation and evacuation center management, and supporting the Governments of FSM and RMI to implement national strategies for adaptation and disaster risk management. In addition, the program aims to facilitate planning and coordination among local, national, and regional stakeholders; assess the suitability of existing emergency evacuation centers; and equip 10 schools with emergency equipment, such as fire extinguishers.

Palau

alii CADRE: With $200,000 from USAID/OFDA, IOM continued to build disaster management capacity in Palau by incorporating the alii CADRE program into ongoing IOM DRR initiatives in FY 2018. The alii CADRE program focuses on improving school-based preparedness for disasters. USAID/OFDA has provided approximately $880,000 since FY 2014 to support IOM's efforts to increase DRR capacity in Palau, which include contingency planning for typhoons and facilitating humanitarian assistance and logistics training.

Tonga

Community Disaster Risk Management: USAID/OFDA, through Act for Peace and in collaboration with the Tonga National Council of Churches, continued supporting the Government of Tonga to implement its Joint National Action Plan for climate adaptation and disaster risk management in FY 2018. Recognizing that first responders to disasters are typically local community members, Act for Peace facilitated community DRR and emergency response trainings—including in first aid and search-and-rescue operations—and simulation exercises in communities across Tonga. The program also worked with local authorities to plan and implement disaster mitigation projects, such as retrofitting evacuation centers and developing early warning systems. With prior year funding, Act for Peace expanded the program to integrate efforts to improve food security, protection, and WASH conditions during emergencies at the community level—including through trainings on community-based protection, food security risks and assessment, and WASH measures—with DRR efforts to strengthen community resilience to disasters.

Background on Localization of DRR Rationale

USAID Localization of Aid Goals

This APS supports a key tenet of USAID's vision statement: "Our objective is to support partners to become self-reliant and capable of leading their own development journeys" (https://www.usaid.gov/who-we-are/mission-vision-values). Locally led disaster risk reduction programming will ensure future sustainability of efforts and direct funding to local leadership, who has vested interest in ensuring their communities are better prepared for future disasters. Local and national actors are effective partners as they are often the first to respond, are embedded in communities that allow for a more sustainable response – before, during, and after a crisis – and can contribute to joint needs assessments and planning. In the long-term, having capable and accountable local and national responders will reduce reliance on international actors. USAID/OFDA has a long history of working with local and national actors to prepare for and respond to disasters and is fundamentally committed to building the capacity of local and national responders for disaster risk reduction and humanitarian response.

Sendai Framework

The Sendai Framework for Disaster Risk Reduction 2015-2030 was adopted by UN Member States on 18 March 2015 at the Third UN World Conference on Disaster Risk Reduction in Japan (https://www.unisdr.org/we/coordinate/sendai-framework). The framework aims to achieve substantial reduction of disaster risk losses pursuing preventing new and reducing existing disaster risk. USAID/OFDA aligns its DRR activities along the four priorities for action adopted in the Sendai Framework for Disaster Risk Reduction 2015–2030:

1. Understanding disaster risk.
2. Strengthening disaster risk governance to manage disaster risk.
3. Investing in disaster risk reduction for resilience.
4. Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation, and reconstruction.

This APS seeks to further USAID's contribution towards achieving this global goal.

Grand Bargain Commitments

The Grand Bargain is an agreement between some of the largest donors and aid providers, which aims to get more means into the hands of people in need and to improve the effectiveness and efficiency of humanitarian action.

The Grand Bargain was first proposed by the former UN Secretary General's High-Level Panel on Humanitarian Financing in its report "Too Important to Fail: addressing the humanitarian financing gap" as one of the solutions to address the humanitarian financing gap. The Grand Bargain includes a series of changes in the working practices of donors and aid organizations that include increasing cash programming, providing greater funding for national and local responders, and decreasing bureaucracy through harmonized reporting requirements. The Grand Bargain aims to increase global humanitarian funding to local and national responders by 2020, along with more un-earmarked money, and increased multi-year funding to ensure greater predictability and continuity in humanitarian response, among other commitments.

Further information can be found in the official website of the Grand Bargain: https://interagencystandingcommittee.org/grand-bargain-hosted-iasc/

The Grand Bargain's work stream on localization of aid set forth the goal for organizations and donors that by 2020 a global, aggregated target of at least 25 percent of humanitarian funding to local and national responders as directly as possible to improve outcomes for affected people and reduce transactional costs. This APS responds to this objective of the Grand Bargain, of which the US is a signatory.

I.B.2. Program Scope and Objective(s) of this NFO

The overarching objectives of this APS are: 1) to fund local actors[1] to implement disaster risk reduction programs in small Pacific Island countries and 2) to further the goals of small Pacific Island countries' journey to self-reliance.

The geographic scope of this NFO is: Cook Islands, Federated States of Micronesia (FSM), Fiji, Kiribati, Nauru, Niue, Palau, Republic of the Marshall Islands (RMI), Samoa, Tokelau, Tonga, and/or Tuvalu. USAID/OFDA envisions that most local organizations would be able to work in only one or two countries at most. USAID/OFDA discourages regional or sub-regional programs from being proposed for this APS.

This APS seeks to fund programs for the duration of a minimum of 24 months and a maximum of 48 months. Successful awardees that require an award instrument of a Fixed Amount Award will be limited to 36 months in duration.

Illustrative Activities

This APS seeks to implement disaster risk reduction activities through local organizations.

Examples of activities or programming include, but are not limited to:

- Development of sustainable community-based disaster risk reduction programs;
- Working with national disaster management authorities to roll out national-level risk reduction priorities to under-served or remote communities;
- Last-mile early warning information channels and systems, including through traditional methods and low-tech/locally sustainable approaches;

[1] Please see below for additional information on the definition of local actors.

- Strengthening communication of disaster warning and information to remote or under-served communities;
- Increasing water storage and use efficiency at community and household level;
- Implementation of community-prioritized preparedness and mitigation activities; such as the upgrade of evacuation centers and integrated evacuation processes.
- Improving coastal resilience to flooding and coastal inundation through natural and nature-based solutions, such as mangroves and other approaches.
- Working with schools or other public institutions on disaster preparedness and response, as well as upgrades to facilities;
- Support to increase access to savings and loans groups for extremely vulnerable populations who may not have access to these instruments to enable them to better cope with disasters;
- Provision of vouchers or small cash grants to communities to implement mitigation activities in their communities;
- Development of curriculum or curriculum materials on DRR topics that are most relevant to the local context;
- Working with the shelter sector in country to develop disaster resilient housing recommendations for communities, individual homeowners, private sector, and/or policy levels reflective of local context and preferences;
- Support to the national disaster management authorities to implement their top DRR priorities; and
- Introduction of disaster-resilient agricultural techniques to local farmers.

USAID expects that applications will propose to achieve results, such as, but not limited to:

- Increasing community awareness of local vulnerabilities and preparedness for natural disasters,
- Reducing the response time between a disaster event and the provision of aid by local responders,
- Reducing the frequency with which external or international aid is requested or required to respond to small- to medium-scale disasters,
- Improving community awareness and acceptance of national and regional early warning information,
- Increasing the organizational and technical capacity of local and national organizations to participate in disaster response effectively and under the leadership of the national disaster management authorities, and
- Improving host nation and/or community preparedness and response planning for disasters through inclusion of vulnerable and otherwise marginalized groups.

In addition, USAID/OFDA requires that all proposals include activities that will specifically build the capacity of the organization to better implement DRR activities in the future and/or participate in response activities to future disasters. USAID/OFDA requires that each application include a section that specifically outlines areas where the applicant can strengthen its capacity and activities that will be undertaken in support of this objective.

Sector(s) and Sub-Sector(s) per the OFDA Application Guidelines (2019). A table containing a summary of sectors and sub-sectors starts on page 18 of the Application Guidelines. Detailed sector and sub-sector information starts on page 64 of the Application Guidelines.

USAID/OFDA anticipates that activities under this NFO will fall into one or more of the below USAID/OFDA sector(s):

- Agriculture and Food Security,
- Logistics Support,
- Natural and Technological Risks,
- Risk Management Policy and Practice,
- Shelter and Settlements,
- Water, Sanitation, and Hygiene.

For this APS full application, applicants should address the needs assessment questions and technical design information outlined in the sector for Risk Management Policy and Practice and any other technical sector that is relevant to the proposed activities.[2] For example, an application for drought resilient agriculture capacity building would utilize both the Risk Management Policy and Practice sector and the Agriculture and Food Security sector. The APS will not consider disaster response applications.

Local Actors

USAID encourages applications from local actors that have not worked with USAID before. An individual cannot apply.

When determining if an entity is a "local actor" for the purposes of this APS, USAID will utilize the definitions for "national actors" and "local actors" that the Grand Bargain localization work stream members have endorsed. "National actors" include an aid recipient country's National Red Cross/Red Crescent Society and governmental or state authorities – both at the national and local level – that are engaged in humanitarian assistance and/or DRR. "Local NGOs" are organizations engaged in humanitarian assistance and/or DRR; headquartered and operating in their own aid recipient country (not cross-border); independent in regards to fundraising and governance; and not affiliated with an international NGO. A local NGO may be part of a network, confederation, or alliance and not be considered an affiliate, as long as it maintains independent fundraising and governance.

USAID will also consider:

- Whether the entity is legally organized under the laws of the host country;
- Whether the entity has its principal place of business or operations in the host country;

[2] Please see the USAID/OFDA Application Guidelines for additional requirements: https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals. This includes gender analysis and mainstreaming, protection mainstreaming, and inclusion of persons with disabilities and older people. The following report may also serve as a resource for relevant gender considerations in DRR activities: https://www.unisdr.org/files/9922_MakingDisasterRiskReductionGenderSe.pdf

- Whether the entity is majority owned and controlled by individuals who are citizens or lawful permanent residents of the host country;
- Whether the entity is managed by a governing body, the majority of whom are citizens or lawful permanent residents of the host country;
- How and to what extent the entity is transparent, accountable, and responsive to the people they serve, including how it receives and responds to feedback from local people;
- Whether the entity has projects, offices, and/or registration in other countries, and whether key management decisions are taken by the office located in the host country or elsewhere; and
- What kinds of organizations the entity partners with and the nature of those partnerships.

While not an exhaustive list and provided for illustrative purposes only, the following types of non-U.S. organizations are encouraged to participate:
- Civic groups
- Colleges and universities
- Cooperatives
- Faith-based organizations
- Foundations
- Non-Governmental Organizations (NGOs)
- Private businesses
- Trade associations

Please see section III.A. Eligibility of Applicants below for additional information.

SECTION II – FEDERAL AWARD INFORMATION

II.A. ESTIMATED TOTAL FUNDING

USAID/OFDA anticipates that up to **US$3 million** may be available to multiple applicants under this NFO to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

II.B. ANTICIPATED NUMBER OF AWARDS

USAID/OFDA anticipates making ***3-4*** awards under this NFO. Nevertheless, USAID/OFDA reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this NFO does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

II.C. EXPECTED AMOUNT OF INDIVIDUAL AWARD(S)

USAID/OFDA anticipates that each individual award will be not less than US$200,000 and not more than US$1,600,000. However, USAID/OFDA reserves the right to consider and select applications that are not within this range of funding. Applicants are encouraged to keep costs reasonable in relation to the scope of their proposed activities, recognizing that the total funding under this NFO will cover a range of efforts.

USAID/OFDA provides this illustrative budget chart to help applicants understand the envisioned budget levels and duration.

2 year program (single country)	$200,000 to $400,000
3 year program (single country)	$300,000 to $600,000
4 year program (single country)	$400,000 to $800,000
2-4 year program (multi country)	$400,000 to $1.6 million

II.D. PROGRAM DURATION

The program duration is a minimum of 24 months from the date of award (see Section V.D of this NFO for when the award(s) is/are expected to be made) and a maximum of 48 months. Awardees that require a Fixed Amount Award will be limited to 36 month implementation timeframe and an award ceiling of $500,000. The date of award will ordinarily be the start-date or unless a later-start date is requested by the applicant. USAID/OFDA reserves the right to incrementally fund activities over the duration of the program, depending on program length, the timeliness and quality of performance using approved program indicators, and the availability of funds.

II.E. TYPE OF AWARD(S)

USAID/OFDA anticipates that either a cooperative agreement or fixed amount award will be awarded as a result of this NFO, depending on the application(s) selected for an award under this NFO. For cooperative agreements, USAID/OFDA anticipates being substantially involved in the approval of the Recipient's annual implementation/work plan (Please see section VI.D.1 for additional information).

In lieu of the foregoing, and depending on the application(s) selected for an award under this NFO, USAID reserves the right to utilize a fixed amount award, as described in 2 CFR 200.45 and ADS 303.3.25**.**

SECTION III – ELIGIBILITY INFORMATION

III.A. ELIGIBILITY OF APPLICANTS

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

Restricted Eligibility

Eligibility will be restricted and competition will be limited to indigenous local and regional entities in accordance with ADS 303.3.6.5b(1).

2. For the purpose of eligibility of applicants under this NFO, an indigenous local or regional entity is a corporation, a non-profit organization, or another body of persons that: (1) is legally organized under the laws of; (2) has as its principal place of business or operations in; (3) is majority owned by individuals who are citizens or lawful permanent residents of; and (4) managed by a governing body the majority of who are citizens or lawful permanent residents of; a country receiving assistance. “Majority-owned” and “managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means. Applicants that are selected for an award(s) must agree that at least fifty percent of the cost of award performance incurred for personnel must be expended for employees of the successful applicant(s).

III.B. USAID ENCOURAGES POTENTIAL NEW PARTNERS TO APPLY

USAID strongly encourages submissions from potential new partners. Awards to potential new partners may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations in order to conduct the risk assessment and to determine whether specific conditions that correspond to the assessed degree of risk will be needed (see Section III.G of this NFO). These organizations should take this into account and plan their implementation dates and activities accordingly.

III.C. COST-SHARING (MATCHING)

Applicants are not required to provide counterpart or cost-sharing (matching) contributions as a condition of eligibility under this NFO. However, applications that include additional in-kind and/or cash contributions will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities and will be considered under the merit review criteria set forth in Section V.A of this NFO. In accordance with 2 CFR 700.10, unrecovered indirect costs (*i.e.*, the difference between the amount of indirect costs charged to the award and the amount which could have been charged under the applicant's approved negotiated indirect cost rate), including indirect costs on cost-sharing or matching, may be included as part of cost-sharing or matching. To qualify, cost-sharing (matching) must:

- Be verifiable from the applicant’s/Recipient's records;
- Not be included as cost-sharing (matching) contributions for any other USG award;
- Be necessary and reasonable for accomplishment of project or program objectives;
- Be allowable under the applicable Cost Principles;
- Be valued in accordance with the terms and conditions of the award (see Section VI of this NFO), if in-kind;
- Not be paid by the USG under another USG award (unless specifically authorized by statute);
- Be included in the budget; and
- Conform to other terms and conditions of the award, as applicable (see Section VI of this NFO).

III.D. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT

Note: *This provision does not apply to applicants who are individuals or are other USG departments and agencies. This provision does not apply to applications from non-U.S. applicants that are less than $25,000 and are to be performed outside the U.S.*

1. In accordance with 2 CFR 25.200(b) and unless excepted in Section IV.C of this NFO, each applicant must provide its unique entity identifier in each submission under this NFO. The applicant’s unique entity identifier is the nine-digit DUNS number, currently established and assigned by Dun and Bradstreet, Inc. (D&B), to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or on the Internet at http://fedgov.dnb.com/webform,

2. A DUNS number is required for registration in the USG’s System for Award Management (SAM). SAM is the USG repository into which the apparently successful applicant must provide information required for the conduct of business. In accordance with 2 CFR 25.200(b) and unless excepted in Section IV.C of this NFO, applicants must be registered in the USG’s System for Award Management (SAM) prior to making a submission under this NFO. Additional information about registration procedures may be found at the SAM Internet site (http://www.sam.gov).

3. Unless excepted in Section IV.C of this NFO, USAID may not make an award until the applicant has complied with the foregoing requirements. If the apparently successful applicant has not complied by the time that USAID is ready to make an award, the USAID Agreement Officer may determine that the applicant is not qualified to receive an award, and may use that determination as a basis for making an award to another applicant.

4. Unless excepted in Section IV.C below, if an award(s) is (are) made to the apparently successful applicant, the apparently successful applicant of the award(s) must maintain an active SAM registration and must maintain the currency of its information in SAM until it submits the final financial report required under the award or receives the final payment, whichever is later. This requires that the apparently successful applicant review and update the information on an annual basis from the date of initial registration or subsequently updates its information in the SAM database, and more frequently if required by changes in its information or another award term, in order to ensure that its information is current, accurate, and complete.
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5. If an award(s) is (are) made to the apparently successful applicant, the apparently successful applicant may be required by 2 CFR 170 to report total compensation for each of the applicant's five most highly compensated executives for the preceding completed fiscal year as part of the applicant's registration profile at SAM. In accordance with 2 CFR 170.200, applicants must ensure that they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding.

6. Unless excepted in Section IV.C of this NFO, if any sub-awards are planned and proposed by the applicant, the applicant must notify potential sub-recipients that they may receive a sub-award. The potential sub-awardee must provide its DUNS number to the apparently successful applicant/recipient. The apparently successful applicant/recipient may not make a sub-award to an entity unless the entity has provided its DUNS number. Note: If a sub-award is made, 2 CFR 170 may require: (a) the sub-recipient to report total compensation for each of the sub-recipient's five most highly compensated executives for the preceding completed fiscal year; and (b) the apparently successful applicant to report the sub-award in the USG's Federal Funding Accountability and Transparency Act (FFATA) Sub-award Reporting System (https://www.fsrs.gov/). In accordance with 2 CFR 170.200, applicants must ensure that they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding.

III.E. REGISTRATION AS A PRIVATE VOLUNTARY ORGANIZATION (PVO)

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

III.F. CODE OF CONDUCT FOR THE PROTECTION OF BENEFICIARIES OF ASSISTANCE FROM SEXUAL EXPLOITATION AND ABUSE IN HUMANITARIAN RELIEF OPERATIONS

Section 2110 of the Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Tsunami Relief, 2005, provides that International Disaster Assistance (IDA) funds for FY 2005 and subsequent fiscal years may not be obligated to an organization that fails to adopt a Code of Conduct that provides for the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such Code of Conduct must be consistent with the United Nations Interagency Standing Committee on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, which includes the following core principles:

1. Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;

2. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally; mistaken belief in the age of a child is not a defense;

3. Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited; this includes exchange of assistance that is due to beneficiaries.

4. Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work.

5. Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms.

6. Humanitarian workers are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment.

III.G. QUALIFICATIONS OF APPLICANTS

1. Qualification Factors

To qualify for an award(s) resulting from this NFO, the applicant must:

(a) Have a satisfactory history of performance, including a satisfactory record of meeting expected performance goals and managing and executing programs or activities under USG awards if it is a prior Recipient of USG awards (*e.g.*, timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of the awards);

(b) Have a satisfactory record of integrity and business ethics;

(c) Have a Unique Entity Identifier (DUNS) number and is registered in the USG's System for Award Management (SAM) (http://www.sam/gov), if applicable (see Section III.D above and Section IV.C of this NFO);

(d) Be financially stable and have adequate financial resources (or the ability to obtain such resources) as required during the performance of the award (also see Section VI.C of this NFO regarding payment provisions for the award(s) resulting from this NFO);

(e) Have the necessary management systems and ability to meet required management standards, including the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170, if applicable;

(f) Have the ability to effectively implement statutory, regulatory, or other requirements imposed on recipients of USG assistance;

(g) Have the ability to meet the award terms and conditions (see Section VI of this NFO), considering all existing prospective Recipient commitments, both non-governmental and governmental;

(h) Not be indebted to the USG;

(i) Not have any active exclusions in the USG's System for Award Management (http://www.sam/gov) (see Section III.D above and Section IV.C of this NFO);

(j) Not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control (OFAC);

(k) Not be included in the United Nations Security Council terrorist designation list; and

(l) Be otherwise qualified to receive an award under applicable laws and regulations.

2. Pre-Award Risk Assessment

In order to determine whether an applicant qualifies for an award under the qualification factors described in Section III.G.1 above, the USAID Agreement Officer must assess the risks posed by applicants in accordance with the following (see Section VI of this NFO for internet links):

- For U.S. and Non-U.S. NGOs: 2 CFR 200.205 and ADS 303.3.9

3. Sources of Information

In assessing applicant risk vis-à-vis the qualification factors described in Section III.G.1 above, the USAID Agreement Officer will utilize:

- Information available through any OMB-designated repositories of USG-wide eligibility qualification or financial integrity information, as appropriate;

- Information available in the U.S. Department of the Treasury's "Do Not Pay" system;

- Information available in SAM;

- Integrity and performance information available through the Federal Awardee Performance and Integrity Information System (FAPIIS);[3]

- Information available in the U.S. Department of the Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons List (http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx);

- Information available in the United Nations Security Council terrorist designation list (http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml);

- Reports and findings from audits, including Single Audit information available through the Federal Audit Clearinghouse (https://harvester.census.gov/facweb/);

- Information obtained from evaluations and assessments of prior work;

- Information received from references provided in the application (see Section IV.B of this NFO), and references other than those provided in the application;

- The applicable statutory and regulatory certifications (see Section IV.B of this NFO);

- If requested, copies of: (a) audited financial statements for the last three years; (b) projected budget, cash flow, and organization charts; and (c) copies of applicable policies and procedures (*e.g.*, accounting, purchasing, property management, travel, and personnel);

- Formal pre-award surveys (if applicable);[4] and

- Other information that the USAID Agreement Officer may reasonably request.

4. Results of Risk Assessment

As a result of the aforementioned risk assessment, the USAID Agreement Officer may do one of the following:

[3] An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a USG awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM. The USAID Agreement Officer will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under USG awards when completing pre-award risk assessment.

[4] USAID reserves the right, but undertakes no obligation, to perform a pre-award audit/survey which may include, but is not limited to: (a) interviews with individuals to establish their ability to perform award duties under project conditions; (b) a review of the applicant's financial condition, business, and personnel policies and procedures, etc.; and (3) site visits to the applicant's institution.

(a) Make an Award

If a positive risk assessment is made, the USAID Agreement Officer would ordinarily be expected to make an award (assuming that mutual agreement can be reached on award terms and conditions and/or any other matter). A positive risk assessment means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry-out the assistance program to be funded, and that the applicant will practice mutually agreed-upon methods of accountability for funds and other assets provided by USAID.

(b) Not Make an Award

(1) If a negative risk assessment is made, the USAID Agreement Officer would ordinarily not make an award. A negative risk assessment means that the applicant does not meet one or more of the qualification factors listed in Section III.G.1 above, and that specific conditions (see Section III.G.4(c) below) cannot appropriately mitigate the effects of the applicant's risk.

(2) In accordance with 2 CFR 200.212, if the USAID Agreement Officer determines that an applicant is not qualified for an award(s) because the applicant does not have a satisfactory record of: (a) executing programs or activities under USG grants, cooperative agreements, or contracts (see Section III.G.1(a) above); and/or (b) integrity and business ethics (see Section III.G.1(b) above), USAID must report that determination to the designated integrity and performance system accessible through SAM (currently FAPIIS) if it is the only basis for the USAID Agreement Officer's determination and if the award would have exceeded the simplified acquisition threshold (currently $150,000, but revised from time-to-time).

(3) In such cases, USAID will notify the applicant that the determination was made and reported to the designated integrity and performance system accessible through SAM (currently FAPIIS), and include with the notification an explanation of the basis for the determination. The information will be kept in the system for a period of five years from the date of the determination, and then archived. The applicant may go to the awardee integrity and performance portal accessible through SAM and comment on any information the system contains about the applicant itself. If USAID enters information into the designated integrity and performance system accessible through SAM about a determination that an applicant is not qualified for an award(s) and subsequently learns that any of that information is erroneous, USAID will correct the information in the system within three business days. In addition, if USAID subsequently obtains an update to that information, USAID may amend the information in the system to incorporate the update in a timely way.

(4) In accordance with 2 CFR 200.211, all information posted in the designated integrity and performance system accessible through SAM will be publicly available after a waiting period of 14 calendar days, except for information that is withdrawn by USAID during the 14-calendar day waiting period However, USAID will not publish any information in the non-public segment of designated integrity and performance system that is exempt from disclosure under the Freedom of Information Act (5 U.S.C 552), or controlled unclassified

information pursuant to Executive Order 13556. If the applicant asserts within seven calendar days that some or all of the information made publicly available is covered by a disclosure exemption under the Freedom of Information Act, USAID will remove the posting within seven calendar days of receiving the assertion. Prior to reposting the releasable information, USAID must resolve the issue in accordance with USAID's Freedom of Information Act procedures.

(c) Make an Award with Specific Conditions

If a positive risk assessment cannot be made, an award may still be made if the applicant can correct its deficiencies within a reasonable period of time, and if the award includes specific conditions that can appropriately mitigate the effects of the applicant's risk. Such specific conditions are described in 2 CFR 200.207 and ADS 303.3.9.2

III.H. ELIGIBILITY OF ORGANIZATIONS WITH A DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION (AAPD 14-03)

As indicated in Sections IV.B and VIII.D of this NFO, and in accordance with Section 7073 of the Consolidated Appropriations Act, 2014 (Public Law (PL) 113-76), USAID funds may not be used to enter into an award with any applicant that:

1. Was convicted of a felony criminal violation under any USG law within the preceding 24 months, unless USAID has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government; or

2. Has any unpaid federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless USAID has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the government.

III.I. PROHIBITION ON PROVIDING USG ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS

As indicated in Section IV.F.15 of this NFO, USAID may not make an award to an applicant that requires employees, sub-awardees, or contractors to sign internal confidentiality agreements or statements prohibiting or otherwise restricting the lawful reporting of fraud, waste, or abuse to a designated investigative or law enforcement representative of a USG department or agency authorized to receive such information.

III.J. BRANDING STRATEGY AND MARKING PLAN

As indicated in Section IV.B below, failure to submit and negotiate a Branding Strategy and Marking Plan within the timeframe specified by the USAID Agreement Officer will make an applicant ineligible for an award.

III.K. RESPONSIVENESS TO NFO

Applicants must follow the instructions contained in this NFO and supply all information as required. Failure to furnish all information requested in this NFO may disqualify an applicant. The penalty for making false statements to the USG is prescribed in 18 U.S.C. 1001.

III.L. FAILURE TO AGREE

The inability of USAID and the applicant to reach a mutual agreement on the terms and conditions of an award resulting from this NFO will disqualify an applicant. See Section VII of this NFO for applicable terms and conditions.

III.M CONSCIENCE CLAUSE (HIV/AIDS ACTIVITIES)

As indicated in Section IV.B.1(g) of this NFO, if an applicant proposes HIV/AIDS activities, the applicant will not be required to: (a) endorse or utilize a multi-sectoral or comprehensive approach to combating HIV/AIDS; or (b), or to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection. Such applicants will not be discriminated against in this NFO or any award resulting from this NFO for refusing to meet said requirements.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

IV.A. ADDRESS TO REQUEST APPLICATION PACKAGE (NFO)

The preferred method of distribution for this NFO and any future NFO amendments is electronically via: www.grants.gov, which provides a single source for USG-wide competitive grant and cooperative agreement opportunities. It is the responsibility of the applicant of this NFO and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with: www.grants.gov so they are alerted to any changes posted to this and other USG (including USAID) NFOs.

IV.B. CONTENT AND FORM OF SUBMISSIONS

IV.B.1. General

All submissions under this NFO must include name and address of the submitter, as well as the title and number of this NFO, as indicated in the cover letter, as well as the following.

(a) Language of Submissions and Currency Denomination

All submissions must be in the English language. If not in English, all documentation must include an English translation. All submissions must be denominated in U.S. dollars and, if applicable, indicate the exchange rate(s) used.

(b) Formatting

All submissions must be use the following format: a standard 8-1/2" x 11" page with one-inch top/bottom and left/right margins, single-spaced, with each page numbered consecutively. Electronic submissions must be in 2000 or newer versions of Microsoft Word and/or Excel, and must use Times New Roman font in 10-point or larger size. Scanned PDF documents may be used for information requiring signatures and copies of documents. ZIP files may not be submitted since USAID’s computer security system automatically quarantines them. All submissions must incorporate page numbers and headers or footers that clearly identify the submission or revision date, and whether it is an original or revised submission.

(c) Submission from Headquarters

All submissions must be from the applicant’s headquarters or, if the applicant uses a federative structure, from an applicant’s office with authority to sign an award.

(d) Unnecessarily Elaborate Submissions

Unnecessarily elaborate artwork, brochures, or other presentations beyond those sufficient to present a complete and effective response to this NFO are not desired and may be construed as an indication of the applicant's lack of cost consciousness. If a hard copy is submitted, elaborate paper, covers, and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

(e) Responsiveness to NFO and False Statements

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

(f) Restriction on Disclosure and Use of Data

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

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

> This document 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 review or evaluate this submission. If, however, a grant or cooperative agreement is awarded to this applicant as a result of—or in connection with—the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the 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 numbers or other identification of sheets*);

and

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

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

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

(A) Information submitted in response to this NFO, prior to award, or modifications or revisions thereto.

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

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

(3) Upon award, USAID will disclose, use, or duplicate any information submitted in response to this NFO to the extent provided in the award and as required by the Freedom of Information Act.

(g) Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

(1) An applicant, including a faith-based organization, which is otherwise eligible to receive funds under this NFO for HIV/AIDS prevention, treatment, or care:

(A) Shall not be required, as a condition of receiving such assistance:

(i) To endorse or utilize a multi-sectoral or comprehensive approach to combating HIV/AIDS; or

(ii) To endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

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

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

(3) In responding to this NFO, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The applicant's application will be evaluated based on the activities for which an application is submitted, and will not be

evaluated favorably or unfavorably due to the absence of an application addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (2) above, the applicant must meet the submission date provided for in this NFO.

IV.B.2. Concept Papers

In accordance with ADS 303.3.6.1c, and as described in Section V.B below, this NFO will utilize a multi-tiered review and selection process under which applicants will first submit brief concept papers. In this way, applicants can quickly learn whether USAID/OFDA would consider supporting the applicant's conceived program without expending the time and expense of preparing a full application. The applicant's submission, and USAID/OFDA's acceptance, of a concept paper does not guarantee that USAID/OFDA will request a full application. USAID/OFDA understands that the information in a concept paper will be preliminary and may change in the full application (if requested). Concept papers must provide the following information and comply with the following page limitations:

(a) Cover Letter/Introduction (One Page)

- NFO Number;
- Program/Project Title;
- Name and address of the applicant organization;
- Type of organization (*e.g.*, non-profit, university, etc.);
- Point(s) of contact (phone, fax, and email);
- Names of other organizations (USAID, other USG and non-USG) to which the applicant has submitted or plans to submit the application and/or which are funding the proposed activity;
- Name of any sub-partners, if applicable or identified; and
- Signature of authorized representative of the applicant who is empowered to contractually obligate the applicant.

(b) Technical Information (Not to Exceed Five Pages)

With reference to Section IV.C and Section IX of the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/sites/default/files/documents/1866/application_guidelines.pdf),[5] the concept paper's technical information must be organized by the applicable USAID/OFDA sector(s), each with its appropriate sub-sector(s), and must include the following information:

[5] As indicated in Section VI.B.3 of this NFO, in the event of any inconsistencies between the USAID/DCHA/OFDA *Guidelines for Proposals* and this NFO, the latter will prevail.

- Concise title and objective of proposed activity;

- Program/Project Summary should include a brief description of the problem and how it will be addressed. State the goal, objectives, proposed activities, and expected results of the proposed program and how it would contribute to USAID/OFDA's mandate. Describe how proposed activities directly respond to the objectives of this NFO and how proposed activities lead to anticipated results and impact.

- Proposed period of activity, particularly if less than the timeframes described in Section II.C above;

- Discussion of the method or approach and the types and amounts of effort to be employed and other non-labor inputs (*e.g.*, equipment, materials and supplies, facilities, travel and transport, etc.) to be utilized and/or provided by the applicant and any sub-partners;

- Geographic area(s) of proposed activities;

- Description of the appropriateness of activities given the proposed country context;

- Targeted number of beneficiaries, with brief description of beneficiaries and the selection process;

- As applicable, coordination plan that may include host government and municipal agencies, UN agencies and other PIOs and NGOs, if any.

(c) Organizational Information (Not to Exceed Three Pages)

- Brief description of the applicant's previous accomplishments and experience in implementing similar activities and within the proposed country(ies) (including references); and

- Description of organizational capacity and resources (headquarters, regional, and/or country offices, field/project offices, etc.).

(d) Preliminary Budget and Cost Information (Not to Exceed Four Pages)

- Preliminary budget/cost breakdown (*e.g.*, salaries, travel, indirect costs, etc.), in U.S. dollars, including any cost-sharing (see Section III.C above); and

- Brief budget narrative.

IV.B.3. Full Applications (If Requested)

Full applications consist of a technical application and a cost/management application, which must be submitted in separate volumes, each of which must be organized by the headings set forth below and must include the information described below. The full application will be valid for 90 days unless the applicant proposes a different period. The technical application and the cost/management application must comply with the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/sites/default/files/documents/1866/application_guidelines.pdf)[6] and the following:

(a) Technical Application

The technical application will be the critical item of consideration in the selection of an applicant(s) for an award(s). The information provided in the technical application must be specific, complete, and presented concisely. The technical application must demonstrate how it contributes to achieving the program's goals and objectives, including specific results anticipated. The weightings in the evaluation criteria set forth in Section V.A of this NFO indicate the relative order of importance of the evaluation criteria, so that applicants will know which areas require emphasis in the preparation of the technical application. Applicants are advised that lack of completeness or superficiality of the application may constitute grounds for excluding it from consideration.

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

The technical application must have a definitive strategy and plan, and must set forth in detail the applicant's approach, methodology, procedures, and techniques for the design, management, implementation, and monitoring of the proposed program. The application must also demonstrate the applicant's capabilities and expertise to successfully implement, manage, and monitor the proposed program. It is important that the technical application furnish verifiable, objective supporting evidence of successful program management, implementation, and monitoring. The technical application should be specific, detailed, and include appropriate benchmarks or milestones.

The technical application must provide the following information and comply with the following page limitations:

[6] As indicated in Section VI of this NFO, in the event of any inconsistencies between the USAID/DCHA/OFDA *Guidelines for Proposals* and this NFO, the latter will prevail.

(1) Application Summary (Approximately Two Pages)

The technical application must include an application summary of approximately two pages, as described in Section IV.A of the USAID/OFDA *Application Guidelines* (2019).

(2) Technical Information (Not to Exceed 20 Pages, Plus 2 Additional Pages for Each Sub-Sector)

The technical application must use the sectors, sub-sectors, keywords, and indicators identified in Section IV.C, and must provide the information described in Section V of the USAID/OFDA *Application Guidelines*. Unless otherwise indicated, a page in the technical application which contains a table, chart, graph, etc. will be counted as a page within the page limitation. Information which exceeds the page limitation will not be furnished to the USAID Selection Committee (SC) (see Section V.B of this NFO).

Specifically, the technical application must address the below information:

1. Justification for Proposed Intervention(s)

The technical application must include a Justification for Intervention section that addresses the following information.

- **Targets and Fills Identified Need(s) and Gaps in DRR Programs**: Describe the needs and gaps the proposed interventions are addressing. Identified needs should be based on assessments or surveys using sound methodology and historical and/or baseline data, as well as identified gaps in current or existing DRR programs. You may submit needs assessments conducted by your organization, by the host government disaster management office, or other internationally recognized sources familiar with the context, such as the UN. If you report assessment findings, include the full report as an annex that includes a summary of information describing the type of assessment, who conducted the assessment, where it took place, and when. Divide this summary by specific sectors and sub-sectors and describe major findings. Describe why the specific proposed interventions are the most appropriate to meet identified needs and gaps.

- **Alignment with National and State-Level Policies, Procedures, and Priorities**: Describe relevant national- and state-level DRR policies, procedures, and priorities and how proposed activities align with these national and state policies, procedures, and priorities.

- **Beneficiary Incorporation into Design and Implementation**: Describe how targeted communities, local institutions, and organizations were consulted prior to submission of the application and how their concerns and needs were incorporated into program planning and implementation. Applicants must provide a summary of the information in the justification for proposed intervention(s) section of the application, accompanied by an Accountability to Affected Populations Plan (as an annex) as outlined in Section IV.B.3.C below.

2. Technical Merits of the Application (Program Description)

The technical application must include a Program Description section that addresses the following information. Additional information shall also be provided in annexes, as described below.

- **Technical Approach, Timeline, and Feasibility**: Describe how proposed activities address needs outlined in the justification for proposed intervention(s) section above and USAID/OFDA's objectives outlined in Section I.B.2 of this NFO. Describe in detail the technical approach, including methods used to implement proposed activities. This section should include methodologies, processes, or steps you will undertake to implement each proposed activity within the timeframes outlined in this NFO. You may include timelines, charts, or other graphics for illustrative purposes. Proposed activities must fall under one or more of the sectors listed in the Sectors, Sub-sectors, and Indicators Table in the USAID/OFDA *Application Guidelines*. Applicants must review the relevant sector guidance in its entirety and address all questions and information requirements in the sector guidance.

- **Selection Methodology**: Clearly identify the target population in terms of number, location, and current status and describe the methodology for selecting the targeted population(s).

- **Gender Mainstreaming, Protection Mainstreaming, and Inclusion of Older People and People with Disabilities**: Applications must adhere to USAID/OFDA's mandatory cross-sectoral guidance on protection mainstreaming, gender integration, inclusion of persons with disabilities and older people. This includes a description of the risks for harm, exploitation, and abuse faced by the affected population; analysis of the roles and power dynamics between men and women, boys, and girls and demonstration of how this relates to humanitarian needs and program design in the proposed setting; and inclusion of persons with disabilities and older people.

- **Monitoring and Evaluation**: Applications shall include appropriate indicators for proposed activities and impact, as well as output, indicators where feasible. Applicants must include a Monitoring and Evaluation Plan as an Annex as outlined in Section IV.B.3.A below.

3. Institutional Experience and Capability

The technical application must include an Institutional Experience and Capability section that addresses the following information.

- **Capability and Competence**: Applicants must describe their capability and competence to undertake the proposed activities in the Program Description, outlining their contextual and geographic knowledge, capabilities and competencies in the proposed functional areas of DRR, and ability to begin implementation in the proposed country(ies) within three months of award if successful in their application. The information presenting the capabilities of the implementing organization(s) and of the individuals to be assigned should spell-out clearly the pertinent work experience and accomplishments in developing and conducting activities of the type being proposed, as well as the specialized skills, professional competence, academic training, and relevant achievements of the personnel. The contextual knowledge description should include the applicant's previous experience implementing programs in the proposed country(ies) and a discussion of political, economic, cultural, and institutional norms in the proposed country(ies) of intervention.

- **Direct Implementation**: Applications must clearly demonstrate that the applicant has the ability to implement the majority of activities directly and not predominantly through sub-awards or sub-contracts.

(d) Sustainability

Technical applications must include a Sustainability Plan and Transition or Exit Strategy section that describes how program activities will be sustained beyond the life of the program. This includes how resources might be obtained to continue the activity or program, if appropriate (*e.g.*, cost-recovery mechanisms, discussions with development partners, etc.) and/or how activities will be turned over to host nations or community members. Sustainability planning should address the transition to local organizations or authorities and highlight the importance of consulting community members and government officials in a participatory approach.

(e) Coordination

Technical applications must include a Coordination section that describes how you will coordinate, share information, and collaborate with UN agencies, other NGOs, other USG agencies, other donors, local groups, and local and national government agencies in the project design and implementation of activities for the proposed sector(s). List other governmental or non-governmental institutions, international organizations, and/or NGOs working in the same sector, especially those in proximity of the proposed activities. Describe the coordination approach for this sector with these entities, including the frequency of meetings, how problems are identified and addressed, how information is gathered and disseminated, and how standards are set and monitored, among others.

(3) Supporting Documentation

The following documents are to be submitted in an annex and will not count towards the page limits listed for the technical application. No additional documents outside of the items listed below should be submitted nor will be reviewed by USAID/OFDA.

(A) Monitoring and Evaluation Plan – Please See Relevant Page Limitations Below

The technical application must contain a monitoring and evaluation (M&E) plan as an annex. The M&E Plan must be submitted as an annex to the application. The M&E plan consists of three required components:

1. Monitoring Table – **No page limitation (Please see template on the USAID/OFDA resources page**: https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals)
2. Monitoring Narrative – **Not to exceed 5 pages**
3. Evaluation Plan, including Statement of Work (SOW), as applicable – **Not to exceed 5 pages**

Please refer to pages 74 to 78 of the USAID/OFDA *Application Guidelines* for further information on M&E plan requirements.

(B) Draft Work Plan – Not to Exceed Five Pages

The Applicant must include a draft implementation/work plan for the program, including key tasks and deliverables required in the Program Description and clearly detail timing for deliverables. This plan will be finalized upon implementation of the Award.

(C) Safety and Security Plan – Not to Exceed 25 Pages

The technical application must provide a location-specific Safety and Security Plan for proposed program sites (see Section VII.A of the USAID/OFDA *Application Guidelines*).

(D) Accountability to Affected Populations – Not to Exceed One Page

The technical application must include an Accountability to Affected Populations Plan as an annex, not to exceed one page. This plan/framework, should describe:

- How the affected population was involved in the program design;
- What mechanisms are in place to provide program information and receive beneficiary feedback throughout the duration of the project;
- How will beneficiary feedback be incorporated into program implementation, monitoring and evaluation of progress, and designing course corrections as needed;
- How you will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries;
- How the partner will ensure confidentiality and respond to any critical or sensitive protection issues that arise.

Please refer to pages 73 to 74 of the USAID/OFDA *Application Guidelines* for further information.

(E) Logistics Requirements (If Applicable) – Please See Relevant Page Limitations Below

If procurement over $50,000 is planned, provide a:

i. Procurement plan **- Not to exceed 2 pages**,
ii. Procurement policy **- No page limit**, and
iii. Transport plan **- Not to exceed 2 pages**.

If warehousing in support of USAID/OFDA-funded project(s) is planned, provide a:

i. Storage plan **- Not to exceed 2 pages**, and
ii. Warehouse management policy **- No page limit**.

Please refer to pages 81 to 82 of the USAID/OFDA *Application Guidelines* for further information.

(F) Code of Conduct – No Page Limit

The technical application must include the applicant's Code of Conduct that is consistent with the U.N. Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, with a paragraph describing how the applicant will implement the Code of Conduct in the program location (see Section VII.B of the USAID/OFDA *Application Guidelines*).

(G) Organizational Structure – Not to Exceed Three Pages

In accordance with Section VII.F.1 of the USAID/OFDA *Application Guidelines*, the technical application must also explain how the applicant's headquarters and field office(s) are organized, and how this structure is coordinated to achieve performance targets.

(H) Past Performance References – No Page Limit

In accordance with Section VII.F.2 of the USAID/OFDA *Application Guidelines*, the technical application must provide examples of past performance and sector expertise that demonstrate the applicant's success in implementing similar programs. Applicants must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a list of point of contact names with current telephone numbers and e-mail addresses.

(b) Cost/Management Application

There are no page limitations on the cost/management application, which must provide the following information:

(1) Application for Federal Assistance

In accordance with Section VI.C of the USAID/OFDA *Application Guidelines*, the cost/management application must include the applicable forms from the Standard Form 424 (SF-424) series, which includes the following:

- SF-424 Application for Federal Assistance.
- SF-424A Budget Information- Non-Construction Programs.
- SF-424B Assurances for Non-Construction Programs.
- SF-424C Budget Information for Construction Programs.[7]
- SF-424D Assurances for Construction Programs.[8]

These forms are found on www.grants.gov.

(2) Detailed/Itemized Budget

The cost/management application must provide a detailed/itemized budget in MS Excel, as described in Section VI.A of the USAID/OFDA *Application Guidelines*. Also see the Sample Detailed Budget at https://www.usaid.gov/sites/default/files/documents/1866/application_guidelines.pdf. Note: 2 CFR 200 was issued after the last update of the USAID/OFDA *Application Guidelines*. 2 CFR 200.414(f) allows any applicant that has never received a negotiated indirect cost rate (except governmental department or agency units that receive more than $35 million in direct USG funding may elect to charge a *de minimis* rate of 10% of modified total direct costs (MTDC)[9] which may be used indefinitely. Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology, once elected, must be used consistently for all USG awards until such time as the applicant organization chooses to negotiate for a rate, which the organization may apply to do at any time.

(3) Budget Narrative

The cost/management application must include a budget narrative, which justifies proposed expenses and explains how costs are estimated, as described in Section VI.B of the

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[7] See Section IV.F.17 of this NFO for eligibility of construction activities.

[8] See Section IV.F.17 of this NFO for eligibility of construction activities.

[9] "MTDC" means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each sub-award (regardless of the period of performance of the sub-awards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each sub-award in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the applicant's cognizant USG agency for indirect costs.

USAID/OFDA *Application Guidelines*. Also see the Sample Budget Narrative at https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals.

(4) USG Negotiated Indirect Cost Rate Agreement (NICRA)

In accordance with Section VI.H.3 of the USAID/OFDA *Application Guidelines*, the cost/management application should include a copy of the applicant's USG Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

(5) Sub-Award and Contractual Arrangements

With reference to Section VI.H.2 of the USAID/OFDA *Application Guidelines*, to the extent they are known at the time of application development, the cost/management application should describe details of planned sub-awards and contracts, *i.e.*:

- Name of sub-awardee;
- Statement of work or program description for the sub-awardee;
- Budget;
- Sub-awardee's NICRA, if applicable;
- Type of sub-awardee (*i.e.*, contractor or sub-recipient); and
- Sub-awardee's unique entity identifier (DUNS number)

(6) Cost-Sharing (Matching)

With reference to Sections III.C and V.A of this NFO and Section VI.H.1 of the USAID/OFDA *Application Guidelines*, the detailed/itemized budget described in paragraph (b)(2) above should reflect any proposed cost-sharing (matching) and the budget narrative described in paragraph (b)(3) above should provide supporting details and explanations.

(7) Program Income

In accordance with Section VI.H.4 of the USAID/OFDA *Application Guidelines*, if program income is anticipated, the cost/management application must reflect the estimated amount in the detailed/itemized budget described in paragraph (b)(2) above. The budget narrative described in paragraph (b)(3) above must describe how the program income is proposed to be treated, *e.g.*, as additive program funding, cost-sharing, or deductive, or a combination thereof. See 2 CFR 200.307 (http://www.ecfr.gov/cgi-bin/text-idx?SID=a9a8289b4274d61db336d7334c64ca37&mc=true&node=pt2.1.200&rgn=div5#se2.1.200_168).

(8) USAID Certifications, Assurances, and Other Statements of Recipient

With reference to Section VI.G of the USAID/OFDA *Application Guidelines*. The cost/management application must include the USAID Certifications, Assurances, Other Statements of the Recipient at: http://www.usaid.gov/ads/policy/300/303mav, which must be signed and dated by the applicant. With reference to Sections III.D of this NFO and Section IV.C above, the Certifications, Assurances, and Other Statements of Recipient must include the applicant's unique entity identifier (DUNS number in the place provided therein.

(9) Restricted Commodities

If the applicant proposes to purchase (or lease on a long-term basis) any of the restricted commodities described in Section IV.F.19, the cost/management application must provide the information described in Section VI.E.3 of the USAID/OFDA *Application Guidelines*. Additional information for some restricted commodities may be found at: https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals.

(10) Waivers from or Approvals under USAID Procurement Requirements

If the applicant foresees the need for waivers from, or approvals required under, USAID's source and supplier nationality requirements (see Section IV.F.19 of this NFO), the cost/management application should describe which goods and services need approval/waivers, and provide an explanation and justification for the same.

(11) Branding Strategy and Marking Plan (BS/MP)

The applicant is required to comply (and ensure compliance by partners) with USAID's branding and marking requirements set forth in 2 CFR 700.16 (http://www.ecfr.gov/cgi-bin/text-idx?SID=a5489109509be4f2b9bd6335059465b2&node=pt2.1.700&rgn=div5#se2.1.700_110). Also see the solicitation provisions entitled "Branding Strategy – Assistance" and "Marking Plan – Assistance" in Part V of http://www.usaid.gov/ads/policy/300/303mav, Section VI.F. of the USAID/OFDA *Application Guidelines*, and the Branding Strategy Review Form and the Marking Plan Review Form at: https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals.

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

Nevertheless, applicants are encouraged, but are not required, to submit their BS/MP with their initial cost/management applications. Applicants who choose not to include their BS/MP with their initial cost/management application will not be penalized during the evaluation process, but should be aware that, if the applicant is the apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt, review, and, if necessary, negotiation of the applicant's BS/MP, with failure to submit or negotiate a BS/MP within the time specified by the Agreement Officer making the apparent successful applicant ineligible for award. Moreover, because USAID's branding and marking requirements have cost implications, such costs must be included in the detailed budget (see paragraph (b)(2) above), even if the applicant does not submit its BS/MP with the initial cost/management application.

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

(12) Information Regarding Applicant Qualifications

With reference to Section III.G of this NFO, the cost/management application may, but is not required to, provide information that will assist the USAID Agreement Officer in performing the pre-award risk assessment and determining the qualifications of the applicant.

(13) Requirements for New Applicants

If the applicant has not previously received funding from the USG, or has received funding from the USG, but not from USAID, the cost/management application must include the information described in Section VI.D of the USAID/OFDA *Application Guidelines*.

(14) Voluntary Survey on Faith–Based and Community Organizations

With reference to Section VII.E of the USAID/OFDA *Application Guidelines*, the applicant is encouraged, but is not required, to submit USAID's *Voluntary Survey on Faith-Based and Community Organizations* (see https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals).

(15) Representation By Organization Regarding A Delinquent Tax Liability Or A Felony Criminal Conviction (August 2014) (AAPD 14-03)

The cost/management application must include the representation set forth in Attachment 1 of this NFO (see Section VIII.D of this NFO).

IV.B.3. Revised Applications/Addenda (If Requested)

With reference to Section IV.D below and Section V.B of this NFO, if the applicant(s) is requested to submit a revised application (or an addendum to the original application) after negotiations (if any) have been concluded, it is subject to the same requirements described above for full applications unless otherwise indicated in the request.

IV.B.4. Interviews/Discussions/Oral Presentations in Washington

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

IV.C. UNIQUE ENTITY IDENTIFIER (DUNS NUMBER) AND SYSTEM FOR AWARD MANAGEMENT (SAM)

In accordance with 2 CFR 25 and as indicated in Sections III.D. and IV.C above, all applicants must: (1) be registered in the U.S. Government's System for Award Management (SAM) (http://www.sam.gov) before making a submission under this NFO; (2) provide a valid unique entity identifier (DUNS number) in each submission (which may be obtained at http://fedgov.dnb.com/webform, and is required for registration in SAM); and (3) continue to maintain an active SAM registration with current information at all times during which it has an active USG award or an application or other submission under consideration by a USG awarding agency. USAID may not make an award until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant. This requirement does not apply if the applicant is a non-U.S. NGO, PIO, or foreign governmental organization and the applicant's submission is for a project or program performed outside the U.S. and is valued at less than US$25,000.

IV.D. SUBMISSION DATES AND TIMES

This NFO is open for twenty-four months from the date of issuance, although USAID/OFDA plans to review applications in rounds. Concept notes received no later than five o'clock (**5:00 PM) Eastern Time (ET) on June 15, 2020** will be included in the first batch of applications for review. This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. Late applications will only be considered under subsequent rounds of applications, if any.

The following are the submission deadlines for this NFO.

IV.D.1. Questions

(a) Written Questions

Questions regarding this NFO must be submitted to the point of contact specified in Section VII of this NFO. All questions must be in writing and must be submitted by email. All questions concerning this NFO must be received no later than 5:00 pm local Washington, D.C. time on or about **February 21, 2020**. The questions received by that date, if any, (without attribution to the organization) and answers will be posted as an amendment to this NFO, if the information is necessary in responding to this NFO or if the lack of such information would be prejudicial to any other prospective applicant. Sensitive or proprietary information should not be included in the questions. Oral explanations or instructions given before award(s) is/are made will not be binding.

(b) Contact with USAID Staff

In order to maintain the integrity of the competitive process, USAID Missions and other USAID operating units, including USAID/OFDA staff in Washington and the field, will be unable to advise or provide information to potential applicants that would be used in preparation of a submission under this NFO. Therefore, applicants are advised not to contact USAID staff regarding this NFO and, instead, should comply with paragraph (a) above. Pre-award contact regarding this NFO with USAID personnel other than the point(s) of contact specified in Section VII of this NFO may result in disqualification of the applicant.

IV.D.2. Concept Papers

All concept papers must be submitted at **EAP_DRR_APS@ofda.gov** (also see Section IV.G below). Submissions by fax will not be accepted. All concept papers must be received no later than 5:00 pm local Washington, D.C. time on **June 15, 2020.**

IV.D.3. Full Applications (If Requested)

With reference to Section V.B of this NFO, if a full application is requested after USAID/OFDA's review of concept papers, it must be submitted to the point of contact designated in Section VII of this NFO, and must be received no later than the date and time specified in the request.

IV.D.4. Revised Applications/Addenda (If Requested)

With reference to Section V.B of this NFO, the USAID Agreement Officer may conduct negotiations with an applicant(s) and, following the conclusion thereof, may request the applicant(s) to submit a revised application (or an addendum to the original application). If a revised application (or addendum) is requested, it must be received no later than the date and time, and by the point of contact, specified in the request.

IV.D.5. Subsequent Submissions

(a) USAID anticipates making the award(s) resulting from this NFO after the first round of submissions described above. However, USAID reserves the right to allow/request subsequent rounds of submissions if all funds planned to be awarded under this NFO (see Section II.A of this NFO) are not programmed as a result of the first round of submissions. In that case, this NFO will be amended to establish subsequent submission deadlines. Except as described below, late submissions will only be considered under subsequent rounds, if any.

(b) If, as a result of an applicant's submission and USAID's review of a concept paper, an applicant is not invited to submit a full application, any re-submission by that applicant of the same concept paper under a subsequent round will only be considered under exceptional circumstances. Similarly, if an applicant's full application is not selected for an award(s), re-submission of the same application by the same applicant under a subsequent round will only be considered under exceptional circumstances.

IV.D.6. Late Submissions

(a) Applicants are responsible for ensuring that submissions under this NFO by the point of contact designated in Section VII of this NFO by the deadlines set forth in above. If no time is specified, the time for receipt is 12:00 AM local Washington, DC time.

(b) Any concept paper received at the designated office after the exact date and time specified for receipt is "late" and will not be considered unless the USAID Agreement Officer determines that accepting the late application would not unduly delay the review of concept papers, and:

(1) It was transmitted through an electronic method authorized by this NFO and it was received at the initial point of entry to the USAID infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt; or

(2) There is acceptable evidence[10] to establish that it was received at the USAID installation designated for receipt and was under USAID's control prior to the time set for receipt; or

(3) It is the only concept paper received.

(c) Any application or revised application received at the designated office after the exact date and time specified for receipt is "late" and will not be considered unless it is received before award(s) is (are) made, the USAID Agreement Officer determines that accepting the late application would not unduly delay the award(s); and:

(1) If it was transmitted through an electronic method authorized by this NFO, it was received at the initial point of entry to the USAID infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt; or

[10] Acceptable evidence to establish the time of receipt at the USAID installation includes the time/date stamp of that installation on the concept paper wrapper, other documentary evidence of receipt maintained by the USAID installation, or oral testimony or statements of USAID personnel.

(2) There is acceptable evidence[11] to establish that it was received at the USAID installation designated for receipt and was under USAID's control prior to the time set for receipt; or

(3) It is the only application or revised application received.

(d) Notwithstanding the above, a late application or revised application of an otherwise successful applicant that makes its terms more favorable to USAID will be considered at any time it is received and may be accepted.

(e) If an emergency or unanticipated event interrupts normal USG processes so that submissions cannot be received at the office designated for receipt by the deadlines specified above, and urgent USG requirements preclude amendment of this NFO, the time specified for receipt will be deemed to be extended to the same time of day specified above on the first work day on which normal USG processes resume.

IV.E. INTER-GOVERNMENTAL REVIEW

Submissions under this NFO are not subject to Executive Order 12372, "Intergovernmental Review of Federal Programs."

IV.F. FUNDING RESTRICTIONS

There are numerous statutory, regulatory, and/or policy restrictions on the use of USAID funds. The following list of restrictions is not necessarily exhaustive, and only represents those which are most commonly encountered with USAID programs. Applicants must consider these restrictions when designing their proposed programs and preparing their submissions in response to this NFO. However, USAID/DCHAOFDA has statutory "notwithstanding authority," which permits it to waive many of these restrictions.

IV.F.1. Ineligible Countries

Unless otherwise approved by the USAID Agreement Officer, funds may only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

IV.F.2. USG Economic Sanctions

USAID funds may not be expended in violation of any U.S Government Economic Sanctions and/or any license related thereto which is issued by the U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC). Please see http://www.treasury.gov/resource-center/sanctions/Pages/default.aspx.

[11] Acceptable evidence to establish the time of receipt at the USAID installation includes the time/date stamp of that installation on the concept paper wrapper, other documentary evidence of receipt maintained by the USAID installation, or oral testimony or statements of USAID personnel.

IV.F.3. USG Export Restrictions

USAID funds may not be expended in violation of the USG's Export Administration Regulations (EAR) administered by the U.S. Department of Commerce and found in 15 CFR 730, *et seq* (http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=15:2.1.3.4.20).

IV.F.4. Prohibition on Assistance to Drug Traffickers

In accordance with Section 487 of the Foreign Assistance Act of 1961, as amended (FAA) and 22 CFR 140, assistance may not be provided to drug traffickers. To this end, if the applicant proposes a program in one of the following "covered countries," USG overseas posts may be required to review certain "key individuals" of the applicant and covered participants before assistance may be provided. As of 2014, the "covered countries" are: Afghanistan, The Bahamas, Belize, Bolivia, Burma, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Haiti, Honduras, India, Jamaica, Laos, Mexico, Nicaragua, Pakistan, Panama, Peru, and Venezuela.

IV.F.5. Eligibility of Voluntary Population Planning Activities

In accordance with Section 104 of the Foreign Assistance Act of 1961, as amended (FAA), USAID may not be used for the following:

(a) Involuntary Sterilization Programs

USAID funds made may not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

(b) Prohibition on Abortion-Related Activities

(1) USAID funds made may not be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. "Motivate" must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) USAID funds may not be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

IV.F.6. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance)

If the applicant proposes a program that involves HIV/AIDs activities, USAID funds may not be used to promote or advocate the legalization or practice of prostitution or sex trafficking, in accordance with the United States Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, Pub.L. No. 108-25 (2003) (the "Leadership Act"), as amended by the Tom Lantos and Henry J. Hyde United States Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, Pub.L. No. 110-293 (2008) (the "Reauthorization Act") and the PEPFAR Stewardship and Oversight Act of 2013, Pub.L. No. 113-56 (2013. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

IV.F.7. Prohibitions on Police Assistance and Assistance to Military or Paramilitary

In accordance with Section 660 of the Foreign Assistance of 1961, as amended (FAA), USAID funds may not be used for support to any police, prison authority, or other security or law enforcement forces, or for support to any military or paramilitary force or activity except as may be approved by USAID.

IV.F.8. Military Coups

In accordance with Section 508 of the Foreign Assistance Act of 1961, as amended (FAA), USAID funds may not be used for assistance to a country which has undergone a military coup unless otherwise approved by USAID.

IV.F.9. Delinquency in Loan Repayments

In accordance with Section 620(q) of the Foreign Assistance Act of 1961, as amended (FAA) and the Brooke Amendment, USAID funds may not be used for assistance to countries that are delinquent in their loan repayments.

IV.F.10. Severance of Diplomatic Relations

In accordance with Section 620(t) of the Foreign Assistance Act of 1961, as amended (FAA), USAID funds may not be used for assistance to countries with which the USG has severed diplomatic relations.

IV.F.11. Support for International Terrorism

In accordance with Section 620(a) of the Foreign Assistance Act of 1961, as amended (FAA), USAID funds may not be used for assistance to countries that have repeatedly supported international terrorism.

IV.F.12. Nuclear Proliferation

USAID funds may not be used for assistance to countries if prohibited by the Arms Export Control Act.

IV.F.13. Investment Promotion

In accordance with Section 599 of Pub. L. 102-391 and Section 547 of Pub. L. 103-87, USAID funds or other support may not be used for any activity that involves investment promotion in a foreign country, except as specifically authorized by USAID.

IV.F.14. Workers' Rights

In accordance with Section 599 of Pub. L. 102-391 and Section 547 of Pub. L. 103-87, USAID funds or other support may not be used for any activity that involves workers' rights in a foreign country, except as specifically authorized by USAID.

IV.F.15. Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (APRIL 2015)

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

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

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

IV.F.16. Prohibition on Profit

In accordance with 2 CFR 200.400(g) and 2 CFR 700.13(a)(1), no profit (*i.e*., any amount in excess of allowable direct and indirect costs) is payable to the Recipient(s) of the prime award(s) resulting from this NFO, or under a sub-recipient under any sub-award (*i.e*., sub-grants and sub-cooperative agreements). However, profit is payable by the prime Recipient or a sub-recipient to a contractor/vendor if the Recipient or sub-recipient is procuring goods or services by contract in furtherance of the program being supported by the award or sub-award. Please refer to the following for additional information: (http:/www.usaid.gov/ads/policy/300/303sai).

IV.F.17. Eligibility of Construction Activities

(a) General Eligibility

Construction is eligible for USAID financing under the award(s) resulting from this NFO. "Construction" means construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration, and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures. "Improvements, renovation, alteration, and refurbishment" includes any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems. "Improvements, renovation, alteration, and refurbishment" does not include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (*e.g.*, shelves, signs, lighting, etc.).

(b) Eligibility under 22 CFR 228

As indicated in Section IV.F.19 below, advanced developing countries which USAID has determined to have attained a competitive capability in international markets for construction services or engineering services are not eligible to furnish USAID-financed construction and engineering services unless specifically approved by USAID. In addition, when the estimated cost of a contract for construction is $10 million or less and only local firms will be solicited, a local corporation or partnership which is a foreign-owned local firm will be eligible only if it is determined by USAID to be an integral part of the local economy

(c) Accessibility Standards for the Disabled

(1) All construction must comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access, or where the host country or regional standards fail to meet the ADA/ABA threshold, the standards prescribed in the ADA and the ABA will be used.

(2) This applies to all new or renovation construction, as well as alterations of an existing structure that affect the usability of the structure, unless the USAID

Agreement Officer approves otherwise because compliance is technically infeasible or constitutes an undue burden, or both.[12] The foregoing does not apply to:

- Normal maintenance, reroofing, painting or wall papering, or changes to mechanical or electrical systems, which are not alterations unless they affect the accessibility of the building or facility; and

- Emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of part of existing structures, or provision of temporary structures) intended to be temporary in nature.

IV.F.18. Eligibility of Activities under USAID's Environmental Regulations

In accordance with Section 204.3.10 of USAID Automated Directives System, the activity(ies) covered by this NFO, except for the purchase and use of pesticides (see Section IV.F.19 below), is (are) exempt from USAID's environmental regulations in 22 CFR 216. Nevertheless, USAID/OFDA seeks to avoid or mitigate potentially detrimental environmental impacts in all activities, and reserves the right to not fund an activity and/or to require specific environmental monitoring and mitigation measures by the Recipient of the award(s) resulting from this NFO. Any such environmental compliance requirements will be discussed with the prospective Recipient(s) prior to award, and mutual agreement on such environmental requirements will be a prerequisite for an award. Failure to reach such mutual agreement will make the applicant ineligible for an award.

IV.F.19. Eligibility of Goods and Services for USAID Financing

(a) Applicability

(1) In addition to the general procurement requirements stipulated in the award(s) resulting from this NFO (see Section VI of this NFO), USAID-funded goods and services are subject to the USAID-specific procurement rules[13] in 22 CFR 228, *Rules for Procurement of Commodities and Services Financed by USAID* (http://www.ecfr.gov/cgi-bin/textidx?c=ecfr&SID=260c5b7cc4cf7639856f204d96e3515f&rgn=div5&view=text&node=22:1.0.2.22.25&idno=22), as well as various USAID procurement-related policies in the 300 Series of USAID's Automated Directives System (ADS) (https://www.usaid.gov/who-we-are/agency-policy/series-300). Many of these USAID-specific procurement requirements are derived from statute (*i.e.*, the Foreign Assistance Act of 1961, as amended).

(2) These USAID-specific procurement requirements govern the eligibility of commodities and services for USAID financing, and also apply to long-term leases,

[12] Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.

[13] The USAID-specific procurement rules do not apply to goods and services financed by cost-sharing (matching) or program income funds.

as defined in 22 CFR 228.01. They apply to procurement by the prime Recipient(s) of the award(s) resulting from this NFO. They do not apply to sub-awards made by the prime Recipient, but do apply to procurement by sub-recipients under those sub-awards. Certain exceptions and waivers from the USAID-specific procurement requirements apply to some USAID/OFDA programs, which are embodied in the following summary of the USAID-specific procurement requirements.

(b) Ineligible Commodities and Services

Military equipment, surveillance equipment, commodities and services for support of police or other law enforcement activities, abortion equipment and services, luxury goods and gambling equipment, and weather modification equipment are ineligible for USAID financing.

(c) Ineligible Suppliers

(1) Debarred, Suspended, or Otherwise Excluded Suppliers

Suppliers which are listed in the U.S. Government System for Award Management (SAM) (http://www.sam.gov) as being debarred, suspended, or otherwise having any active exclusions, are ineligible as suppliers of USAID-financed goods and services.

(2) Preventing Terrorist Financing

(A) Suppliers listed in the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC) (http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx) are ineligible as suppliers of USAID-financed goods and services.

(A) Suppliers listed in the United Nations Security Council designation list (http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml) are ineligible as suppliers of USAID-financed goods and services.

(3) Prohibited Sources

USAID funds may not be used for the procurement of commodities and services from prohibited sources,[14] unless the USAID Agreement Officer provides specific written approval to the contrary.

[14] Prohibited sources means countries to which assistance is prohibited by the annual appropriations acts of Congress or other statutes, or those subject to other executive branch restrictions, such as applicable sanctions administered by the U.S. Treasury Department's Office of Foreign Assets Control (OFAC). A list of prohibited source countries may be found in http:/www.usaid.gov/ads/policy/300/310mac

(4) Foreign Government-Controlled Organizations

Foreign government-controlled organizations (as defined in 22 CFR 228.13) are not eligible as suppliers of USAID-financed goods or services unless otherwise approved in advance by the USAID Agreement Officer.

(d) Source of Commodities and Nationality of Suppliers of Eligible Commodities and Services

The ***source*** of USAID-financed commodities and the ***nationality of suppliers*** of USAID-financed commodities and services must be in a country that is included in the authorized geographic code (see paragraph (e) below). "Source" and "nationality" are defined in 22 CFR 228.01. These source and supplier nationality requirements do not apply to:

- Miscellaneous service transactions;[15]
- Incidental services;[16]
- Other delivery services;[17] or
- Employees of contractors or recipients, or individuals providing technical or professional services to recipients or contractors (who must not be citizens or lawful permanent residents or equivalent immigration status of countries which are prohibited sources).

(e) Authorized Geographic Code for Eligible Commodities (Other Than Restricted Commodities) and Services (Other Than Transportation, Construction, and Engineering Services)

(1) Definitions

(A) Geographic Code 937

[15] Miscellaneous services transactions are: (1) the payment of commissions by suppliers; (b) sureties, insurance companies, or banks who issue bonds or guarantees under USAID-financed contracts; and (c) firms providing liability insurance under construction contracts.

[16] Incidental services include installation or erection of USAID-financed equipment, or the training of personnel in the maintenance, operation, and use of such equipment.

[17] Other delivery services include export packing, loading, commodity inspection services, and services of a freight forwarder.

"Geographic Code 937" (the United States, the cooperating/recipient country, and developing countries[18] other than advanced developing countries,[19] but excluding any country that is a prohibited source) is the authorized USAID Principal Geographic Code for the procurement of commodities and services .

(B) Geographic Code 935

"Geographic Code 935" (any area or country including the cooperating/recipient country, but excluding any country that is a prohibited source) is the authorized USAID Principal Geographic Code for procurement of commodities and services.

(2) Authorized Geographic Code

For the award(s) resulting from this solicitation, the authorized geographic code for the ***source of eligible USAID-financed commodities*** (other than "restricted commodities," as discussed in paragraph (f) below), and for the ***nationality of suppliers*** of eligible USAID-financed commodities (other than restricted commodities) and services (other than ocean and air transportation, construction, and engineering services, as discussed in Section IV.F.19(g)(3) below), is Geographic Code 937, except as may otherwise be approved by the USAID Agreement Officer. However, notwithstanding the foregoing, if the total cumulative value of goods and services to be procured under the award by the Recipient and all sub-recipients is $250,000 or less, the authorized geographic code is Geographic Code 935, but the Recipient or sub-recipient must, in all cases, give first preference to Geographic Code 937, and must document its files whenever Geographic Code 935 is used to demonstrate that:

- The project requires non-restricted commodities or services (other than transportation and commodity-related services and construction and engineering services) of a type that are not produced in and available for purchase in Geographic Code 937; or

- It is necessary to permit procurement from Geographic Code 935 to meet the emergency needs of the affected populations; or

- It is more efficient and/or necessary to achieve the project's objectives.

(f) Restricted Commodities

"Restricted Commodities" are certain agricultural commodities, motor vehicles (excluding driver services, as defined in 22 CFR 228.19(b)), pharmaceuticals, condoms and contraceptives, pesticides, used equipment, and non-local purchase of fertilizer. Special prior approval rules

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[18] "Developing countries" means those countries that are categorized by the World Bank as low or lower middle income economies according to their gross national income per capita, and also includes all countries to which USAID provides assistance. A list of developing countries may be found in http:/www.usaid.gov/ads/policy/300/310maa.

[19] "Advanced developing countries" mean those countries that are categorized by the World Bank as upper middle income countries according to their gross national income per capita, except for those countries in which USAID provides assistance. A list of developing countries may be found in http:/www.usaid.gov/ads/policy/300/310mab.

apply to restricted commodities, which are described in ADS 312.3.3 (http://www.usaid.gov/ads/policy/300/312), and summarized below.

(1) Restricted Agricultural Commodities

Not all agricultural commodities are restricted. Section VI.E.3 of the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals) provides a detailed description of which agricultural commodities are restricted. If an agricultural commodity (including products thereof, *e.g.*, rolled oats and soybean meal, as long as they have not been processed to such an extent that they can no longer be described as a product of the original agricultural commodity) is restricted, the USAID must provide prior approval for the purchase of such restricted agricultural commodities. When the prices of such products in the U.S. are below parity, USAID will not finance the offshore procurement, unless USAID determines that the commodity could not reasonably be procured in the U.S. in fulfillment of project or program objectives. If non-U.S. restricted agricultural commodities are authorized, the authorized geographic code described in paragraph (e)(2) above applies to the source of such restricted agricultural commodities and to the nationality of the supplier(s) thereof.

(2) Motor Vehicles

Motor vehicles must ordinarily be manufactured in the U.S. in order to be eligible for USAID financing.[20] However, for the purpose of the award(s) resulting from this NFO, lightweight/medium-weight (less than 600 cc) 2- or 3-wheel motor vehicles and right-hand drive 4 (or more)-wheel motor vehicles that are not manufactured in the U.S. are authorized. Additionally, left-hand drive 4 (or more)-wheel motor vehicles that are not manufactured in the U.S. may also be authorized by an additional OFDA waiver.

(3) Pharmaceuticals

All pharmaceutical products, and the suppliers thereof, must be approved by the USAID/OFDA Pharmaceutical Advisor. See the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals) for more details. If approved, the authorized geographic code for the source of such pharmaceutical products and the nationality of the supplier(s) thereof is Geographic Code 935.

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[20] This provision does not apply to the financing of transportation or driver services from an individual or commercial entity (as opposed to directly financing the purchase or lease of a vehicle), which are subject to the supplier nationality requirements for non-restricted commodities and services described in paragraph (e)(2) above. Financing transportation or driver services means that: (1) the vehicle is independently owned or leased by the hired driver or company; (2) the vehicle will be maintained by the individual or commercial entity and driven only by the hired driver(s); and (3) the vehicle is not directly leased, either as a separate line item in the contract separate from the cost of the driver's services, or under a separate contract.

(4) Condoms and Contraceptives

In general, USAID/OFDA will not finance the Recipient's or sub-recipient's costs of procuring condoms and contraceptive but, will, instead, provide such condoms and contraceptives as an in-kind contribution. If approved for purchasing by the Recipient or sub-recipient, the authorized geographic code for the source of such condoms and contraceptives and the nationality of the supplier(s) thereof is Geographic Code 935.

(5) Pesticides

(A) In accordance with Section IV.F.18 above, the purchase and use of pesticides must be approved under USAID's environmental regulations in 22 CFR 216 (http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title22/22cfr216_main_02.tpl) and USAID's environmental policies in ADS Chapter 204 (https://www.usaid.gov/ads/policy/200/204). If approved, the authorized geographic code described in paragraph (e)(3) above applies to the source of such pesticides and to the nationality of the supplier(s) thereof, unless otherwise stated in the approval.

(B) Please see the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals) for additional guidance and requirements regarding Long-Lasting Insecticidal Nets (LLINs).

(6) Used Equipment

It is USAID policy to finance only unused equipment. However, when the purchase of equipment in other than unused condition can be justified, USAID will consider requests for authority to procure such equipment. To justify the purchase of other than unused equipment, the Recipient or sub-recipient must:

- Provide assurance that the requirements of the program will be satisfied if the material purchased is used, rebuilt, or reconditioned; that economic considerations justify procurement of used, rebuilt or reconditioned equipment; that the price is reasonable; and if the equipment is used, the justification shall explain why it is not to be rebuilt or reconditioned.

- Agree to arrange for the inspection and appraisal of the equipment by an inspector acceptable to USAID, with the understanding that the cost will be eligible for USAID financing only if the used equipment is approved.

- Ensure that: (a) items that are rebuilt or reconditioned are permanently marked indicating this is so; (b) the supplier conveys a warranty similar to that extended by manufacturers of similar new equipment; and (c) additional certificates are obtained for rebuilt engines and parts or assemblies for engines and vehicles, and for aircraft engines and aircraft parts and assemblies.

After receipt of the inspection report, USAID will determine whether the inspected equipment conforms with the specified technical conditions at a price acceptable to USAID. If USAID agrees to finance the purchase, USAID will notify the Recipient that the transaction is eligible for USAID financing.

If approved, the authorized geographic code described in paragraph (e)(3) above applies to the source of such used equipment and to the nationality of the supplier(s) thereof, unless otherwise stated in the approval.

(7) Non-Local Procurement of Fertilizer

If the Recipient or sub-recipient will purchase fertilizer that is not procured locally in the cooperating country, it is subject to prior USAID approval. Unless otherwise stated in the approval, non-local procurement is restricted to U.S. sources, unless the Recipient or sub-recipient demonstrates that there are, or are expected to be, significant U.S./offshore price differentials or any adverse impact on domestic availability or price. If offshore procurement is authorized by USAID, the authorized geographic code described in paragraph (e)(3) above applies to the source of such fertilizer and to the nationality of the supplier(s) thereof, unless otherwise stated in the approval.

(g) Transportation, Engineering, and Construction Services

(1) Air Transportation Services

(A) U.S.-Flag Air Carriers

In accordance with the Fly America Act, U.S.-flag air carriers must be used when they are available, except as may be permitted under air transport agreements between the U.S. and foreign governments, *e.g.*, EU countries that have signed the US-EU "Open Skies" agreement (http://www.state.gov/e/eb/rls/othr/ata/i/ic/170684.htm) or under an exception authorized by the Fly America Act.

(B) Air Charters

All air charters covering full or part cargo must be approved in advance and in writing by the USAID Office of Acquisition and Assistance's Transportation Division (M/OAA/T).

(2) Ocean Transportation Services

(A) Privately-Owned U.S.-Flag Commercial Vessels

In accordance with the Cargo Preference Act, at least 50% of the gross tonnage of all goods purchased under the award and transported to the cooperating country shall be made on privately-owned U.S.-flag commercial ocean vessels, to the extent such vessels are available at fair and reasonable rates for such vessels. In addition, at least 50% of the gross freight revenue generated by shipments of goods purchased under the award and transported to the cooperating country on dry cargo liners must be paid to, or for the benefit of, privately-owned U.S.-flag commercial ocean vessels to the extent such vessels are available at fair and reasonable rates for such vessels. The Recipient must contact the USAID Office of Acquisition and Assistance's Transportation Division (M/OAA/T) prior to contracting for ocean transportation to ship goods purchased or financed with USAID funds to determine the flag and class of vessel to be used for shipment. The USAID Agreement Officer (after USAID-internal approval from M/OAA/T) must provide prior authorization for the payment of any freight differential costs (*i.e.*, the difference in cost between using U.S.-flag vessels and using foreign-flag vessels). Dead freight (*i.e.*, a charge payable on space booked on a ship that is not utilized by the charterer or the shipper) is ineligible for USAID financing.

(B) Ocean Charters

All ocean charters covering full or part cargo must be approved in advance and in writing by the USAID Office of Acquisition and Assistance's Transportation Division (M/OAA/T). If an ocean charter is approved, all despatch (*i.e.*, incentive payments made to a carrier for loading and unloading the cargo faster than agreed) earned at the port of unloading on cost, insurance, and freight (CIF) and cost and freight (C&F) shipments, and despatch earned at either the port of loading or unloading for free on board (FOB) or free alongside (FAS) shipments, must be refunded to the Recipient and subsequently credited by the Recipient to the award or refunded to USAID if that despatch exceeds demurrage (*i.e.*, a charge for the failure to load or unload a ship within the allowed time) incurred on the same voyage. Demurrage and detention (*i.e.*, a penalty paid by a charterer for delay of a vessel beyond the contracted terms) are otherwise ineligible for USAID financing.

(C) Marine Insurance

All USAID-financed goods must be insured in U.S. dollars, or any other freely convertible currency, during ocean transportation, unless USAID agrees otherwise in writing. USAID will finance the costs of the insurance premiums, provided that (a) the insurance is placed (*i.e.*, payment of the insurance premium is made to, and the insurance policy is issued by, an insurance company office located) in a country included in the authorized geographic code described in paragraph (e)(2) above; (b) the insurance is placed in accordance with the terms of the commodity purchase contract; (c) the insurance covers, at a minimum, the period during which the commodities are in transit to the cooperating country; (d) the premiums do not exceed the limitations contained in 22 CFR 201.68; and (e) loss payment proceeds are to be paid in U.S. dollars or other freely convertible currency. If loss payments are not used to re-procure any commodities, the Recipient must refund such payments to USAID. M/OAA/T must approve the payment of general average on uninsured shipments where USAID finances the ocean transportation costs.

(3) Engineering and Construction Services

(A) Engineering and Construction Services from Advanced Developing Countries

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

(B) Construction Contracts with Foreign-Owned Local Firms

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

IV.G. OTHER SUBMISSION REQUIREMENTS

Submissions should be made to the point(s) of contact specified in Section VII of this NFO and must be received by the deadlines set forth in Section IV.D. above.

IV.G.1. Electronic Submissions

(a) Electronic submissions are required under this NFO. Please note, per USAID/OFDA's *Application Guidelines*, documents must be written in English or with English translations {ADS 303.3.5.3 d(7)}, and saved in Word 2000 and/or Excel 2000 or newer versions. USAID/OFDA does not accept ZIP files. Only submit PDF files for signed documents.

(b) Electronic submissions should be submitted at: **EAP_DRR_APS@ofda.gov**

SECTION V – APPLICATION REVIEW INFORMATION

V.A. REVIEW AND EVALUATION CRITERIA

V.A.1. Review Factors for Concept Papers

Concept Papers will be reviewed and evaluated based on whether they meet the below factors (listed in a descending order of importance):

- Proposed activities directly respond to the objectives, requirements and parameters sought under this NFO;
- Activities take into account the proposed country context and are feasible within the proposed timeframe;
- Proposed activities logically lead to anticipated results and impact;
- The applicant organization has implemented similar activities and activities in the proposed country(ies);
- Costs are generally in line with Section II.C of this NFO.

V.A.2. Merit Review (Technical Evaluation) Criteria for Technical Applications

The merit review (technical evaluation) criteria presented below, and the relative importance of each criterion, have been tailored to the requirements of this particular NFO. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications (also see Section IV.B above); and (b) set the standard against which all applications will be evaluated.

Applications will be reviewed by USAID/OFDA Selection Committee (SC) in accordance with the evaluation criteria for the applications listed below, with applications scored (listed in descending order of importance where the Technical Merits of the Application is the most important factor). The sub-factors listed under each criterion below are intended to further explain the relevance of the evaluation factor and will not be scored individually. Award(s) will be made to the organization(s) whose applications(s) offer the best value to USAID.

(a) Technical Merits of the Application (Program Description) – Most Important

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

- **Technical Approach, Timeline, and Feasibility**: Appropriateness and technical soundness of proposed activities to addressing needs and gaps identified in the

Justification for Proposed Intervention Section and USAID/OFDA's objectives consistent with Section I.B.2 of this NFO. Proposed activities, systems, and approaches are clearly articulated, logically sound, and realistic. The application provides sufficient detail for the concrete understanding of methods to be used and for a determination of technical appropriateness to be made. The proposed time frame is appropriate for the proposed activities are appropriate and consistent with this NFO.

- **Selection Methodology**: The soundness of the methodology used for selecting the target population and the comprehensiveness of the information provided on the proposed target population in terms of number, location, and current status.

- **Gender Mainstreaming, Protection Mainstreaming, and Inclusion of Older People and People with Disabilities**: The application sufficiently addresses USAID/OFDA's mandatory cross-sectoral guidance on protection mainstreaming, gender integration, inclusion of persons with disabilities and older people. The comprehensiveness and accuracy of the applicant's description of the risks for harm, exploitation and abuse faced by the affected population; analysis of the roles and power dynamics between men and women, boys, and girls and demonstration of how this relates to humanitarian needs and program design in the proposed setting; and inclusion of persons with disabilities and older people. This section will also be evaluated based off how applicants incorporated these considerations into the proposed activities.

- **Monitoring and Evaluation**: This section will be evaluated based on the strength and feasibility of the Monitoring and Evaluation Plan (included as an Annex) in measuring results and impact of the program. Applicants will be assessed according to the appropriateness of proposed indicators, benchmarks, and/or targets to measure achievement and success toward stated objectives. This section will also be evaluated based on whether the applicant has attempted to identify impact, as well as output, indicators.

(b) Justification for Proposed Intervention(s) – Second Most Important

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

- **Targets and Fills Identified Need(s) and Gaps in DRR Programs**: The extent to which the application demonstrates that needs are based on credible information, such as surveys, assessments, historical, and/or baseline data, and identified gaps in current or existing DRR programs. Need(s) data will be evaluated for soundness of methodology, comprehensiveness, and relevance to the objectives of this NFO. DRR program gap information will be evaluated for accuracy, comprehensiveness, and relevance to the objectives of this NFO. Applications will also be evaluated for the extent to which proposed interventions meet these identified needs and gaps.

- **Alignment with National and State-Level Policies, Procedures, and Priorities**: The extent to which the application demonstrates the applicant's knowledge of national- and state-level policies, procedures, and priorities. This includes the relevance and comprehensiveness of the information provided. The extent to which the application demonstrates linkages between proposed activities and these policies, procedures, and priorities.

- **Beneficiary Incorporation into Design and Implementation**: The extent to which the applicant clearly articulates how targeted communities, local institutions, and organizations were consulted during program planning and how their concerns and needs were incorporated into program planning and implementation. The breadth of these consultations and whether the applicant has appropriately incorporated concerns and needs into the proposed activities.

(c) Institutional Experience and Capability – Third Most Important

Applicants will be evaluated based on their institutional experience and capabilities, specifically:

- **Capability and Competence**: The applicant's capability and competence in the activities being proposed, specifically in terms of the applicant's previous experience in the activities proposed in the program description and in implementing programs in the proposed country(ies) of intervention. The extent to which the application demonstrates a strong understanding of the country context in which activities will take place. Applicants will also be evaluated on the applicant's ability to begin implementation within three months of award. (Note: Applicants' description of protection, older people, people with disabilities, and gender will be reviewed separately under the Gender Mainstreaming, Protection Mainstreaming, and Inclusion of Older People and People with Disabilities criteria as noted above.)

- **Direct Implementation**: The extent to which the majority of proposed activities will be implemented directly instead of through sub-awards or sub-contracts.

(d) Sustainability – Fourth Most Important

Applications will be evaluated for sustainability in terms of the appropriateness, feasibility, and comprehensiveness of applicant's Sustainability Plan and transition or exit strategy. This includes whether the potential resources to sustain activities identified and/or plan for how initiatives will be turned over to host nations or communities or closed out is sufficiently outlined and feasible.

(e) Coordination – Fifth Most Important

The appropriateness and feasibility of the applicant's coordination approach. Applications will be evaluated based on the breadth and relevance of institutions, organizations, and NGOs listed. Applications will also be reviewed for the completeness of the applicant's response to each of the components within the coordination approach, including the frequency of meetings, how problems are identified and addressed, how information is gathered and disseminated, and how standards are set and monitored.

V.A.3. COST/MANAGEMENT EVALUATION

(a) Proposed costs are not a scored competitive factor, but will be evaluated for general reasonableness, realism, fairness, necessity, allowability, and allocability. Per Section III.C of this NFO, applicants are not required to provide counterpart or cost-sharing (matching) contributions as a condition of eligibility; however, applications that include additional in-kind and/or cash contributions will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities.

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

V.A.4 SUPPORTING DOCUMENTATION

(a) With reference to Section IV.B of this NFO, the proposed Branding Strategy and Marking Plan (BS/MP) will not be evaluated competitively. The Agreement Officer will review for adequacy the proposed BS/MP for adequacy, and will negotiate, approve, and include the BS/MP in the award.

(b) Supporting documentation submitted in Annexes not noted under the merit review criteria above, including the applicant's the Safety and Security Plan, Work Plan, Logistics Requirements (If Applicable), Code of Conduct, and Organizational Structure, will not be scored as a separate evaluation factor. These documentations will be evaluated with consideration given to how well the supporting documentation demonstrates the applicant's understanding of the programmatic, operational, and logistical opportunities and challenges in working in the proposed country(ies) and convincingly demonstrates the successful and timely ability to implement DRR activities in the proposed country(ies).

(c) Applicant's past performance will not be directly scored as a separate evaluation factor. However, USAID will not select an applicant for award on the bases of a superior technical application without consideration of past performance. Past performance will be evaluated with consideration given to the relevance of past performance and applicant experience of similar size and scope, including quality, timeliness, and cost control.

V.B. REVIEW AND SELECTION PROCESS

V.B.1. Concept Papers

(a) In accordance with ADS 303.3.6.1c, and as indicated in Section IV.B of this NFO, this NFO will utilize a multi-tiered review and selection process under which applicants will first submit brief concept papers. In this way, applicants can quickly learn whether USAID/OFDA would consider supporting the applicant's conceived program without expending the time and expense of preparing a full application.

(b) These concept papers will be reviewed by USAID/OFDA, using the factors described in Section V.A above, to determine whether USAID/OFDA would consider funding the applicant's conceived program. The applicant's submission, and USAID/OFDA's acceptance, of a concept paper does not guarantee that USAID/OFDA will request a full application.

(c) Applicants adjudged to have submitted the best concept paper(s) will then be requested to submit full applications for the conceived program (or portion thereof). Such a request is not a commitment by USAID/OFDA to support the conceived program (or portion thereof), and acceptance of a concept paper does not guarantee that USAID/OFDA will fund a full application after it is submitted. The decision as to whether to submit a full application is at the applicant's sole discretion.

(d) If a full application is not requested, USAID will notify the unsuccessful applicant in accordance with Section VI.A.2 below.

(e) USAID understands that the information in the concept papers will be preliminary and may change in the final application. USAID reserves the right to reject an application without evaluation if the assumptions and/or circumstances underlying the acceptance of the concept paper have changed significantly.

V.B.2. Applications

(a) Applications will be evaluated in accordance with the merit review (technical evaluation) criteria set forth in Section V.A above. After evaluation of the applications, either: (1) the award(s) will be made without discussions/negotiations; or (2) if deemed necessary or desirable by USAID, written and/or verbal discussions/negotiations will be conducted. USAID/OFDA hopes to evaluate applications and make an award(s) without discussions/negotiations with applicants (except clarifications, which are limited exchanges between USAID and applicants). Therefore, the applicant's initial application should contain the applicant's best terms.

(b) If discussions/negotiations are conducted with applicants, they will be conducted with the apparently successful applicant(s). However, if the apparently successful applicant(s) cannot be determined based on the initial applications and before discussions/negotiations are conducted, such discussions/negotiations will be conducted with all applicants that submitted the most highly rated applications. The Agreement Officer may limit the number of such applications to the greatest number that will permit an efficient competition among the most highly rated applications. Exchanges with applicants after receipt of an application do not constitute a rejection or counteroffer by USAID.

(c) After the conclusion of any such discussions/negotiations, applicants with whom discussions/negotiations were conducted will, unless otherwise advised, be required to submit a revised application or an addendum to the initial application, which will be re-evaluated against the criteria set forth above. It is expected that an award(s) will ordinarily be made after the first round of any such discussions/negotiations and revised applications/addenda. However, USAID reserves the right to conduct subsequent rounds of discussions/negotiations and request the submission of revised applications/addenda, and to further limit the number of applicants with which such subsequent discussions/negotiations would be conducted and from which a subsequent round of revised applications/addenda would be requested.

(d) If an applicant is not selected for an award(s), USAID will notify the unsuccessful applicant in accordance with Section VI.A.2 below.

V.C. REVIEW OF INTEGRITY AND PERFORMANCE INFORMATION

As indicated in Section III.G of this NFO, as part of the cost/management evaluation described in Section V.A above, the USAID Agreement Officer is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS). An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a USG awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM. The USAID Agreement Officer will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under USG awards when completing pre-award risk assessment described in Section III.G of this NFO.

V.D. BASIS FOR AWARD(S) AND ANTICIPATED AWARD DATE(S)

1. USAID intends to make an award(s) to the eligible and qualified applicant(s) whose application(s) represent(s) the greatest value to USAID based on the merit review (technical evaluation) criteria set forth in Section V.A above. USAID may reject any or all applications and may accept more than one application if such action is in USAID's interest. USAID may waive informalities and minor irregularities in applications received. USAID is not obligated to make an award or pay for any costs incurred by the applicant in preparation and submission of any documentation in response hereto. USAID reserves the right to fund any or none of the applications submitted.

2. The award(s) resulting from this NFO is (are) expected to be made approximately 45 days after applications are selected for funding. However, this process may take less time or more time, depending on a variety of factors (*e.g.*, number of applications received, quality and completeness of applications, which may also affect whether discussions/negotiations are necessary, the extent of the pre-award risk assessment described in Section III.G of this NFO, other emergencies to which USAID/OFDA may be responding, etc.).

SECTION VI – AWARD ADMINISTRATION INFORMATION

VI.A. AWARD NOTICES

VI.A.1. Successful Applicants

(a) USAID may notify the apparently successful applicant(s) that it (they) has (have) been recommended for funding, but only an award signed by the Agreement Officer will constitute an obligation by USAID to reimburse any costs incurred in the performance and implementation of a project/program. The signed award(s) will be e-mailed to the successful applicant(s).

VI.A.2. Unsuccessful Applicants

(a) Notifications to Unsuccessful Applicants

(1) Concept Papers

Once USAID decides which applicant(s) will be requested to submit a full application, USAID will notify all unsuccessful applicants that their concept papers were not accepted, and that a full application is not requested and will not be considered.

(2) Applications

Once USAID decides which applicant(s) will be not considered for an award(s), USAID will notify all such unsuccessful applicants that they will not be considered further and briefly explain why USAID did not select their application. Within 10 working days after an unsuccessful applicant receives notice that USAID will not fund its application, the unsuccessful applicant may send a written request for additional information.

(b) Provision of Additional Information

(1) Additional information may be provided at the discretion of the USAID Agreement Officer. USAID, in its sole discretion, may respond orally or in writing. USAID will respond to the unsuccessful applicant's request for additional information within 30 days, or will inform the unsuccessful applicant that more time is necessary.

(2) USAID's response will be limited to USAID's interest in supporting the applicant's program as proposed. USAID will explain the basis for its decision not to fund the applicant, and will explain the strengths and weaknesses of the applicant's submission in terms of the published review criteria. USAID will not provide comparisons between submissions, and will only give additional information that would be useful to the applicant in preparing responses to future USAID solicitations. If the applicant has questions about the program or about the programmatic review, USAID will provide constructive feedback that may assist the applicant with future submissions.

VI.B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

VI.B.1. Applicable Regulations and Policies

In addition to other regulations and policies that may be cited in this NFO, the following describes, and provides links to, the regulations and policies that will apply to the award(s) resulting from this NFO:

- Subpart E (*Cost Principles*) of 2 CFR 200, *USG-Wide Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=d4bde6f21f02c6db07affc07a3d1cc26&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_1311)[21].

- ADS Chapter 303, *Grants and Cooperative Agreements to Non-Governmental Organizations* (http://www/usaid/gov/ads/policy/300/303).

- USAID Mandatory and Required-as-Applicable *Standard Provisions for Non-U.S. Non-Governmental Organizations* (http://www.usaid.gov/ads/policy/300/303mab).

VI.B.2. Inconsistencies between this NFO and 2 CFR 200/2 CFR 700/ADS Chapter 303

In case of any disagreements or discrepancies between the terms and conditions of this NFO and 2 CFR 200, 2 CFR 700, or ADS Chapter 303, the latter shall prevail unless any such conflicting terms and conditions of this NFO are expressly and specifically stated to be an approved deviation from 2 CFR 200, 2 CFR 700, or ADS Chapter 303.

VI.B.3. USAID/OFDA Application Guidelines (Version 2019)

Reference is made throughout this NFO to the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals). In the event of any inconsistencies between those Guidelines and this NFO, the latter will prevail.

VI.C. PAYMENT AND FINANCIAL REPORTING

Financial reporting requirements will depend on the method of payment. In accordance with 2 CFR 200.305(b)(1), advance payments will be provided if the Recipient meets the standards for financial management systems in the applicable terms and conditions of its award (see Section IV.G of this NFO); otherwise, payments will be on a reimbursement basis. The Recipient will comply with the financial reporting requirements set forth in the applicable terms and conditions of its award (see Section VI.B above). If advance payments are provided, reporting periods are calendar quarters or parts thereof. Quarterly financial reports are due not later than 30 days after

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[21] If the successful applicant is a non-U.S. commercial (for-profit) organization, the cost principles in 48 CFR Subpart 31.2 (https://www.acquisition.gov/?q=browsefar) will apply in lieu of the cost principles in Subpart E of 2 CFR 200.

the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. If payment is on a reimbursement basis, financial reports may be submitted monthly, but not less frequently than 30 days after the end of each calendar quarter. The final financial report is due not later than 90 days after the estimated completion date of the award. The Recipient must also comply with the USAID standard provision entitled "Reporting Host Government Taxes," if applicable.

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

VI.D.1. Annual Work-Plans

(a) As multi-year awards are expected to result from this NFO (see Section II.D of this NFO), the Recipient will likely be required to submit annual work-plans, covering the period October 1 through September 30 (or parts thereof), delineated by the reporting periods described in Section VI.D.5 below, which describes all activities planned for the year, the site(s) where they will be conducted, benchmarks/milestones and annual performance targets; the outputs/outcomes which the Recipient expects to achieve; and the input/support planned to be provided by the Recipient, during the work-plan period. Included shall be an explanation of how those inputs are expected to achieve the outputs/outcomes and benchmarks/milestones. The Recipient must describe and use appropriate gender-sensitive methodologies and shall maintain gender-integration and -balance in all activities, targeting women and girls when necessary to achieve that balance.

(b) The work-plans will describe activities to be conducted at a greater level of detail than the Program Description of the award (see Section IV.B of this NFO), but shall be cross-referenced with the applicable sections in the Program Description. All work-plan activities must be within the scope and objectives of the award. Work-plans shall not change such scope and objectives or any other terms and conditions of the award in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the work-plan and the Program Description or other terms and conditions of the award, the latter will take precedence over the work-plan.

(c) The final draft of the annual work-plan for the first year will be submitted not later than ***60*** days after the effective date of the award. Annual work-plans for subsequent years shall be submitted no later than 60 days prior to the start of the next year. As indicated in Section II of this NFO, annual work-plans and significant revisions thereto will be subject to USAID approval.

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

(a) Unless a complete M&E Plan is included in the successful application and approved as part of the award, the Recipient may be required to submit a final M&E Plan, as described in Section V.D of the USAID/OFDA *Application Guidelines* (2019) (https://www.usaid.gov/what-we-do/working-crises-and-conflict/crisis-response/resources/guidelines-proposals), after the award is made. The M&E Plan will likely be submitted not later than 60 days after the effective date of the award. As indicated in Section II of this NFO, the M&E Plan and significant revisions thereto will be subject to USAID approval.

VI.D.3. Performance Baseline Data

If an M&E Plan, excluding baseline data, is included in the successful application and is approved as part of the award, the Recipient must submit such data to the designated Agreement Officer's Representative. The baseline data must be submitted no later than 90 days from the performance start-date, or no later than 30 days from the performance start-date, if this Agreement is for less than six months. Submissions must include quantitative baseline data, corresponding to the approved indicators. Performance baseline data must include a brief narrative description of the prevailing conditions of a beneficiary population and/or the situation at the onset of the disaster or program and the magnitude of the problem and/or the needs that the Recipient's program will address.

VI.D.4. Program Updates

On a regular basis, the Recipient must provide to the designated Agreement Officer's Representative via email (and to the OFDA overseas field representative, if there is one) brief, timely, informal updates that provide information such as progress toward accomplishing each objective and achieving expected results, constraints, changes in the situation, and any aspects of the program that show demonstrable progress or achievement, expected or otherwise ("success stories").

VI.D.5. Performance Reports

(a) The Recipient shall electronically submit all performance reports through USAID/OFDA's Award Report Tracking System (ART). A copy of each performance report must also be submitted to the USAID Development Experience Clearinghouse (DEC). In most cases, USAID/OFDA requires performance reports semi-annually (or parts thereof), which are due not later than 30 days after the end of each reporting period. A copy of each performance report must also be submitted to the USAID Development Experience Clearinghouse (DEC).

(b) These reports shall include, for each sector (see the USAID/OFDA *Application Guidelines* (2019)), a comparison of actual accomplishments to the objectives of the award established for the period. Data (both qualitative and quantitative) must be presented using established baseline data and indicators, and be supported by a brief narrative. Where the accomplishments of the award can be quantified, a computation of the cost (*e.g.*, related to units of accomplishment) must be included. If applicable, the reports must describe why established goals were not met, the impact on the program objective(s), and how the impact has been/will be addressed. The reports must also provide other pertinent information including, when appropriate, success stories (if available) which illustrate the direct positive effects of the program; how unforeseen circumstances affected overall performance compared to original assumptions (if applicable); how activities were accordingly adjusted or re-targeted; and analysis and explanation of cost overruns or high unit costs. To the extent available and relevant, performance trend data and analysis should also be included. The reports must include the following beneficiary data:

- Number of beneficiaries targeted, by sector.
- Number of beneficiaries reached, by sector.
- Cumulative number of beneficiaries targeted.
- Cumulative number of beneficiaries reached.

VI.D.6. Notifications of Significant Developments

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

VI.D.7. Final Report

The Recipient must submit a final Program Results report, covering the full period of the award (as may be amended), which will be due not later than 90 days after the estimated completion date of the award. A copy of the final report shall also be submitted to the USAID Development Experience Clearinghouse. The final report must emphasize quantitative as well as qualitative data that reflect results, shall measure impact using the baseline data and indicators established for the program, and shall, at a minimum, include the following data for each sector:

- Number of beneficiaries targeted, by sector.
- Number of beneficiaries reached, by sector.
- Cumulative number of beneficiaries targeted.
- Cumulative number of beneficiaries reached
- Total numbers of beneficiaries targeted and reached.
- A description of assessments and surveillance data used to measure results. The reports from any evaluations completed should also be described.
- Success stories and an explanation of successes achieved, constraints encountered, and adjustments made for achieving each objective.

- A discussion of the overall performance of the project, including details of any discrepancies between expected and actual results and any recommendations for improving the design of the program.

- Overall cost effectiveness, with particular attention paid to cost savings and/or cost overruns, and other significant cost impacts such as major exchange rate fluctuations or other types of inflation.

- A comparison of actual accomplishments to the objectives of the award. Data must be presented using established baseline data, targets, and indicators for each sector, and be supported by a brief narrative. Where the accomplishments of the award can be quantified, a computation of the cost (*e.g.*, related to units of accomplishment) must be included. To the extent available and relevant, performance trend data and analysis must also be included.

VI.D.8. Evaluations

If an evaluation of the project or program is conducted, it must comply with Section V.D.2 of the USAID/OFDA *Application Guidelines* (2019).

VI.E. TITLE TO PROPERTY

Title to property financed by USAID under the award(s) will vest in the Recipient, and will be subject to the applicable terms and conditions of the award (see Section VI.B above).

VI.F. PROGRAM INCOME

Unless the Recipient is a commercial (for-profit) organization, any program income generated under the award will be added to USAID funding (and any cost-sharing that may be provided) and used for program purposes. If the Recipient is a commercial (for-profit) organization, any program income generated under the award will be deducted from total allowable costs to determine the net allowable costs. Program income will be subject to the applicable terms and conditions of the award (see Section VI.B above).

VI.G. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE

If the award(s) resulting from this NFO exceeds US$500,000 over its period of performance, the Recipient will be required to comply with the post-award reporting requirements described in Appendix XII of 2 CFR 200 (http://www.ecfr.gov/cgi-bin/text-idx?SID=a9a8289b4274d61db336d7334c64ca37&mc=true&node=pt2.1.200&rgn=div5#se2.1.200_1302).

SECTION VII – USAID CONTACTS

The point of contact (POC) for this NFO is: **EAP_DRR_APS@ofda.gov**

The above POC is provided for informational purposes only, and should only be contacted for general inquiries regarding this NFO. If a dedicated e-mail address is provided in Section IV.G.1(c) of this NFO, that e-mail address should be used and the POC's e-mail address set forth above should not be used. Applicants should review Section IV of this NFO for information regarding the submission of:

- Systems Problems/Technical Difficulties (See Section IV.G.1 (a) of this NFO)
- Requests for Application Package (NFO) (see Section IV.A of this NFO):
- Questions Regarding NFO (see Sections IV.B and IV.D of this NFO).
- Submission of Concept Papers (see Sections IV.B and IV.D of this NFO).
- Submission of Full Applications (see Sections IV.B and IV.D of this NFO).
- Submission of Revised Applications (See Sections IV.B and IV.D of this NFO).

SECTION VIII – OTHER INFORMATION

VIII.A. USAID's RIGHT TO FUND ANY OR NONE OF THE APPLICATIONS SUBMITTED

As indicated in Section V.D.1 of this NFO, USAID reserves the right to fund any or none of the applications submitted.

VIII.B. ADDITIONAL INFORMATION REGARDING USAID/OFDA

Additional information regarding USAID/OFDA, its mandate, and its program may be found at https://www.usaid.gov/what-we-do/working-crises-and-conflict/responding-times-crisis.

VIII.C. STANDARD PROVISIONS INCORPORATED BY REFERENCE

This NFO incorporates the following standard provisions by reference, with the same force and effect as if they were given in full text. These standard provisions, as applicable, are included amongst other standard provisions (as listed in Section VI.B of this NFO) that will be incorporated into the award(s) resulting from this NFO. Internet links are provided below. Upon request, the Agreement Officer will make their full text available.

VIII.C.1. Non-U.S. NGOs

Non-US NGOs must comply with the standard provisions listed below, which may also be found at: http://www.usaid.gov/ads/policy/300/303mab

M20. Limiting Construction Activities (AUGUST 2013)[22]
M21. USAID Implementing Partner Notices (IPN) Portal for Assistance (JULY 2014)

RAA5. Universal Identifier and System of Award Management (JULY 2015)
RAA6. Reporting Subawards and Executive Compensation (DECEMBER 2014)

RAA17. Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (SEPTEMBER 2004)

RAA26. Limitation on Subawards to Non-Local Entities (JULY 2014)

[22] See Section IV.F.17 of this NFO.

VIII.D. REPRESENTATION BY ORGANIZATION REGARDING A DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION

As indicated in Section IV.B.3(b)(15) of this NFO, the cost/management application must include the applicant's representation regarding delinquent tax liabilities or felony criminal convictions. This representation is set forth in Attachment 1 of this NFO.

Attachment 1

Representation By Organization Regarding A Delinquent Tax Liability Or A Felony Criminal Conviction (AAPD 14-03)

(a) In accordance with Section 7073 of the Consolidated Appropriations Act, 2014 (P. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) Was "convicted of a felony criminal violation under any federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government;" or

(2) Has any "unpaid federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government."

(b) Applicant Representation:

(1) The Applicant represents that it is ( ) is not ( ) an organization that was convicted of a felony criminal violation under a federal law within the preceding 24 months.

(2) The Applicant represents that it is ( ) is not ( ) an organization that has any unpaid federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

NFO
Number____
Signature of Authorized Representative________________________________
Name of Authorized Representative__________________________________
Name of Applicant Organization___________________________________
Date____