



USAID
FROM THE AMERICAN PEOPLE

Subject: **Request for Applications (RFA) Number M-OAA-GRO-EGAS-DGP-11-0001
“Development Grants Program (DGP)”**

Issuance Date: March 14, 2011
Closing Date: April 25, 2011

Dear Applicants:

The United States Government, through the U.S. Agency for International Development's Office of Development Partners (ODP), Division of Private and Voluntary Cooperation (PVC), is inviting applications from prospective partners that are either Private and Voluntary Organizations based in the United States (U.S. PVOs) or indigenous, local NGOs (LNGOs) for the Development Grants Program (DGP). Section 674 of the FY2008 Consolidated Appropriations Act (P.L. 110-161) authorizes the DGP, which was continued via subsequent appropriations legislation, including Section 7061 of the FY2010 Consolidated Appropriations Act which provides current funding for the program, as carried forward by Further Continuing Appropriations Amendments, 2011.

The Development Grants Program (DGP) will support the following three sectors: microenterprise, water, and climate change adaptation. Applications should consider the alignment of projects with Agency priorities and initiatives, specifically [Feed the Future](#), [Global Climate Change](#), and [Global Health](#), utilizing new partners and working in underserved communities. Please refer to the Funding Opportunity for a complete statement of goals, expected results, and criteria for selection of successful concept papers and full applications.

Subject to the availability of funds, USAID intends to provide up to \$54 million in total USAID funding via grants and cooperative agreements in amounts up to but not exceeding \$2 million. A substantial portion of the total funding will support activities in the Water sector, with a strong emphasis on those which address water supply, sanitation and hygiene. A portion of this total must be obligated in FY2011. Obligations should be expended within five years of the date an agreement is signed unless a participating Mission allows for a period of performance greater than five years. Participating Missions may choose to set award ceilings lower than the \$2 million maximum. Attachment 01 lists all such Mission-specific requirements. USAID reserves the right to fund any or none of the applications submitted. Applications received after the deadline will not be considered unless the reason for delayed submission is deemed justified or it is in the interest of the Agency to waive this requirement.

Submissions are due no later than 5:00pm, local time of the recipient USAID/Mission on **April 25, 2011**. With the exception of U.S.PVO registration with USAID (a complete application for which must have been received by USAID by the concept paper deadline), all other requirements of eligibility of this RFA must be met by this date.

Following are the estimated dates of major procurement events:

Application Timeline

| Date | Event |
|-----------------------------|---|
| April 25, 2011 | RFA closed/concept papers due |
| May 27, 2011 | Applicants notified of concept paper status. Selected Applicants asked by Missions to submit full applications |
| July 1, 2011 | Full applications due to Missions |
| Early August, 2011 | Applicants notified whether they are recommended for awards or not |
| September to December, 2011 | Finalists undergo award negotiation process including pre-award surveys if required. Final awards made to successful applicants |

Below is the list of eligible countries for which applications may be submitted under this RFA. This table also lists the sectors for which missions will accept applications. Regional missions may support applications in countries where USAID does not have an office. Refer to the Mission-specific country and regional guidelines in Attachment 01 for more information on the types of activities each participating mission would like to support..

| Participating USAID Missions | Climate Change Adaptation | Microenterprise | Water |
|---|---------------------------|-----------------|-------|
| Asia/ Regional Development Mission (RDMA) | x | | x |
| Azerbaijan | | x | x |
| Bangladesh | x | | |
| Belarus | | x | |
| Benin | | x | x |
| Bolivia | | x | x |
| Bosnia-Herzegovina (BiH) | x | x | x |
| Brazil | x | | |
| Central Asian Republics (CAR) – regional | | | x |
| Colombia | x | | |
| Democratic Republic of Congo (DRC) | x | x | x |
| Dominican Republic | x | x | x |
| East Africa - Regional | x | | x |
| Ecuador | | x | |
| Ethiopia | | x | x |
| Georgia | x | | |
| Guatemala | x | | x |
| Guinea | x | x | |
| India | x | | x |
| Jamaica | x | x | x |
| Jordan | | x | |
| Kazakhstan (see Central Asian Rep.) | | x | x |

| | | | |
|---|----------------------------------|------------------------|--------------|
| Kenya | x | x | x |
| Kosovo | | x | x |
| Participating USAID Missions | Climate Change Adaptation | Microenterprise | Water |
| Kyrgyzstan (see Central Asian Rep.) | x | | |
| Macedonia | x | x | x |
| Moldova | | x | x |
| Morocco | | x | |
| Nepal | x | | x |
| Nicaragua | x | | |
| Nigeria | | x | x |
| Office of Middle East Programs (OMEPP) - regional | | | x |
| Paraguay | x | x | x |
| Philippines | x | | x |
| Senegal | | x | x |
| Southern Africa Regional | x | | x |
| Tajikistan (see Central Asian Rep.) | | x | x |
| Tanzania | x | | x |
| Timor-Leste | x | | x |
| Ukraine | | x | x |
| Uzbekistan | | | x |
| Yemen | | x | x |
| Zimbabwe | x | | x |

Eligibility and application instructions begin on page 30.

After reviewing the RFA, we invite Applicants to visit our website where we have posted Frequently Asked Questions (FAQs) on the DGP application process. **Any questions concerning this RFA not addressed in the FAQs should be submitted in writing no later than March 28. Submit questions to: QA-DGP3@usaid.gov.** Responses to these questions will be posted on www.grants.gov as an amendment to the RFA within one week of the question submission deadline. USAID will also post the RFA and all amendments on the USAID website located [here](#). If there are problems downloading the RFA from www.grants.gov or questions about the grants.gov submission process, please contact support@grants.gov.

We appreciate your interest in partnering with USAID and wish you the best.

Sincerely,

Karen D. Turner
Office of Development Partners
USAID/ODP

Portia Persley
Office of Acquisition and Assistance
USAID/M/OAA

ACRONYMS

| | |
|-------|---|
| ADS | Automated Directives System |
| AO | Agreement Officer – the USAID staff person responsible for managing the procurement process, negotiating awards and ensuring that USAID funds are appropriately utilized. |
| AOTR | Agreement Officer’s Technical Representative – the USAID staff person responsible for oversight of award implementation. For the DGP, the AOTR will reside in the country or region where the grant is implemented. |
| CA | Cooperative Agreement |
| CAP | Capable Partners NGO Strengthening Program |
| CBO | Community-Based Organizations |
| CD | Compact Disk |
| C02 | Carbon Dioxide |
| CFR | Code of Federal Regulations |
| CO2e | Carbon Dioxide equivalent |
| CSO | Civil Society Organizations |
| CV | Curriculum Vitae |
| DCA | Development Credit Authority |
| DGP | Development Grants Program |
| DDR | Disaster Risk Reduction |
| EEO | Equal Employment Opportunity |
| FAR | Foreign Assistance Regulations |
| FICA | Federal Insurance Contributions Act |
| FOG | Fixed Obligation Grant |
| FY | (US Government) Fiscal Year (October 1 – September 30) |
| GCC | Global Climate Change |
| GDA | Global Development Alliance |
| GIS | Geographic Information Systems |
| GPS | Global Positioning System |
| IIE | Initial Environmental Examination |
| INGO | International Non-Governmental Organizations |
| IPR | Implementation and Procurement Reform |
| MDG | Millennium Development Goals |
| MFI | Microfinance Institution |
| MS | Microsoft |
| MSE | Micro and Small Enterprises |
| LEDS | Low Emission Development Strategies (LEDS) |
| LNGOs | Local Non-Governmental Organizations (also referred to as “indigenous NGOs”). See Section 3, part A paragraph 2 of this RFA for a description of eligibility criteria for local and regional NGOs. |
| NGO | Non-Governmental Organizations (refers to both LNGOs and U.S. PVOs) |
| NICRA | Negotiated Indirect Cost Rate Agreement |
| ODP | Office of Development Partners |
| OFDA | Office of Foreign Disaster Assistance |
| OFAC | Office of Foreign Assets Control |
| OMB | Office of Management and Budget |
| POU | Point of Use (Water projects) |
| PMP | Program Monitoring Plan |
| PPP | Public-Private Partnerships |
| PVC | Private and Voluntary Cooperation Division |

| | |
|-----------|--|
| REDD | Reducing Emissions from Deforestation and Forest Degradation. "REDD+" goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. For more information, see the UN-REDD Programme at http://www.un-redd.org/AboutREDD/tabid/582/Default.aspx |
| RFA | Request for Applications |
| RFCP | Request for Concept Papers |
| TBD | To Be Determined |
| TDY | Temporary Duty Assignment |
| U.S. PVOs | Private Voluntary Organizations 501(c)(3) organizations, registered with USAID |
| UN | United Nations |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNSC | United Nations Security Council |
| USAID | United States Agency for International Development |
| USAID/W | United States Agency for International Development/Washington |
| USG | United States Government |
| WRM | Water Resources Management |
| WSSH | Water Supply, Sanitation and Hygiene |

Note: For the purposes of this RFA, the term "Grantee" is synonymous with "Recipient," the term "Grant Officer" is synonymous with "Agreement Officer," and the term "NGO", refers to both "local NGOs," international NGOs, and "U.S. PVOs" unless otherwise noted.

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SECTION 1: FUNDING OPPORTUNITY DESCRIPTION

This section includes a general description of the proposed program, a statement identifying the authorizing legislation, and a discussion of how the award will be administered¹.

The United States Agency for International Development (USAID) established the Development Grants Program (DGP) under the Office of Development Partners, Private and Voluntary Cooperation Division (ODP/PVC), as a small grants program which would increase the number and quality of NGO (both local and U.S.-based) implementing partners who can meet the needs of the communities they serve and contribute to the accomplishment of the Agency's goals and objectives.

The DGP offers USAID a unique opportunity to foster partnerships with organizations and communities that have not been direct USG development partners and to collaborate with grant recipients to make contributions to country development objectives, and the U.S. Government (USG)'s priorities and initiatives. The DGP is closely aligned with Agency Initiatives addressing today's pressing problems of hunger and food security, health impacts of insufficient water resources, and challenges that accompany global climate change, local capacity development, and women and peace-building as well as post-conflict resolution.

This RFA encourages applicants to propose effective, innovative approaches that contribute to the achievement of development objectives in the sectors specified for this third cycle of DGP funding. Funds for the DGP are available for activities in the following three sectors: water (especially water and sanitation), microenterprise and climate change adaptation. Concept papers should only request support for activities that fall under the Agency's definitions for the three sectors and in particular should comply with the country-specific guidance provided in Attachment 01.

USAID strongly encourages cost sharing with non-USG partners and the creation of innovative alliances, particularly public-private partnerships. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Both U.S. PVOs and LNGOs are strongly encouraged to consider alliances with private partners and foundations as a means of leveraging the DGP program funding for greater impact and sustainability. For more information about USAID and alliance building, please see: http://www.usaid.gov/our_work/global_partnerships/gda/tab.html.

USAID may decide to provide awards through either: 1) a Cooperative Agreement (CA) designed to enable USAID to partner with organizations having limited or no experience working directly with USAID or 2) a Fixed Obligation Grant (FOG)² which quantifies

¹ On October 26, 2010, Secretary Clinton gave remarks at the 10th anniversary of UN Security Council Resolution 1325 on women, peace and security. In her remarks she noted, " Fourteen million dollars will also go to nongovernmental organizations working to make clean water more available in conflict zones, because in these areas, when women and girls go looking for water they are at higher risk of being attacked. ". Her complete remarks can be found [here](#).

On October 26, 2010, Secretary Clinton gave remarks at the 10th anniversary of UN Security Council Resolution 1325 on women, peace and security. In her remarks she noted, " Fourteen million dollars will also go to nongovernmental organizations working to make clean water more available in conflict zones, because in these

project milestones and ties disbursements of funds to achievement of those milestones. A Cooperative Agreement provides for substantial USAID involvement during the award to assist the grantee in achieving the supported objectives of the agreement. An explanation of this “substantial involvement” can be found in subsection F below. A Fixed Obligation Grant does not include substantial involvement.

DGP FUNDING

USAID anticipates that this RFA will provide up to \$54 million for successful Applicants. Based on data regarding average grant size from the FY10 program, USAID estimates this RFA will result in approximately **50 grants of \$2,000,000 or less**. All awards will be made on a competitive basis by participating USAID Missions.

Awards funded under this RFA will support activities for a **period of performance of up to five (5) years** unless otherwise specified in the Mission-Specific Information listed in Attachment 01.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of a concept paper or an application. In addition, final awards cannot be made until funds have been appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified that all potential awards are subject to the availability of funds. Concept papers and applications are submitted at the risk of the Applicant. All preparation and submission costs incurred are at the Applicant's expense. This RFA may be amended by USAID as necessary, e.g., to revise deadlines, expand Mission participation or update sector information.

A. BACKGROUND

Local NGOs (LNGOs) and U.S. PVOs work in a wide variety of sectors. Their expertise, experience, flexibility, responsiveness to local priorities, and innovative approaches enable them to make important contributions to communities, civil society and to USAID's development objectives. USAID's past support and partnership with U.S. PVOs and LNGOs has produced many substantial development achievements and has resulted in organizations with strengthened capacity to achieve critical development outcomes. In recognition of the important contribution of a vibrant, diverse, civil society to international development and to promote direct grant relationships between USAID and U.S. PVOs and LNGOs, Congress created the DGP through the enactment of Section 674 of the [Consolidated Appropriations Act of 2008](#). Beyond funding and strengthening new or relatively new USAID NGO partners, the DGP aims to change the infrastructure and culture of USAID to enable the Agency to make more direct awards to civil society organizations, to learn from this process and to inform USAID policies and programs based on these lessons.

areas, when women and girls go looking for water they are at higher risk of being attacked. ". Her complete remarks can be found [here](#).

B. PROGRAM PURPOSE AND OBJECTIVES

The purpose of the DGP is to create new partnerships between USAID and NGOs that have had limited or no prior funding from and experience working directly with USAID. A key goal of the DGP is to expand USAID's NGO network of development partners and provide capacity building support to the new partners. In doing so, USAID will enable a wider range of partners to better meet their constituents' needs and contribute to development outcomes. Increased U.S.PVO and LNGO capacity will expand the number of organizations that make enduring contributions to the evolving needs of those they serve.

The objectives of the DGP as presented in this Request for Applications are:

1. Broadened participation in USAID programs of LNGOs and U.S. PVOs with experience and expertise relevant to priority USAID and partner country development objectives;
2. Expanded numbers of LNGOs and U.S. PVOs with planning, management and service delivery systems adequate to implement USAID-funded activities; and
3. Measurable contributions by LNGOs and U.S. PVOs to the achievement of the development objectives for participating USAID Missions' country programs, in particular as they pertain to Agency priorities and initiatives.

C. AGENCY PRIORITIES AND INITIATIVES

The DGP supports the foreign assistance priorities of USAID and the U.S. Government and provides a unique vehicle for U.S. PVOs and local NGOs to receive direct development assistance from USAID and make important contributions to development and humanitarian objectives. The DGP supports Agency priorities in food security, health, and global climate change, local capacity development, and women and peace-building and post-conflict resolution. The DGP is also closely aligned with the USAID Forward initiative entitled Procurement and Implementation Reform (IPR) which includes a mandate to expand direct grant making to and capacity building of local NGOs.

C.1 The Global Health Initiative

Through the Global Health Initiative (GHI), the United States is investing \$63 billion over six years to help partner countries improve health outcomes through strengthened health systems - with a particular focus on improving the health of women, newborns and children - through programs addressing infectious disease, nutrition, maternal and child health, and safe water. The GHI aims to maximize the sustainable health impact the United States achieves for every dollar invested. USAID is meeting its commitment to the GHI through a business model based on: implementing a woman- and girl-centered approach; increasing impact and efficiency through strategic coordination and integration; strengthening and leveraging key partnerships, multilateral organizations, and private contributions; encouraging country ownership and investing in country-led plans; improving metrics, monitoring and evaluation; and promoting research and innovation.

The DGP supports work aligned with the GHI under the water and microenterprise sectors. In particular USAID Missions encourage applicants to the DGP who are working to improve water supply and sanitation and safeguard water resources for the

well-being of both people and the environment. Activities which directly address the provision of or increased accessibility to clean water in conflict affected areas are strongly encouraged.

C.2 The Feed the Future Initiative and Food Security

More than one billion people - nearly a sixth of the world's population - suffer from chronic hunger. Feed the Future (FTF), the U.S. government's global hunger and food security initiative, is a renewed commitment to invest in sustainably reducing hunger and poverty. Increased investment in agriculture and rural development is a proven lever for combating food insecurity and an engine for broader economic growth, prosperity, and stability. Feed the Future also incorporates a focus on nutrition.

Women account for the majority of the developing world's agricultural workforce and produce half of the world's food. Increasing the productivity of women farmers translates into significant increases in overall agricultural productivity. U.S. PVOs and local NGOs can make significant contributions to revitalize local communities and make sustainable contributions to the reduction of chronic hunger by specifically focusing on women. The DGP offers an important opportunity for new USAID PVO/NGO partners to increase the income of women, improve the nutritional status of women and children, and engage women in the adoption of food production practices that conserve and protect natural resources and biodiversity.

Through partnerships with LNGOs and U.S. PVOs in the sectors of water, microenterprise, and climate change, the DGP supports activities that address food security, either directly or indirectly. Activities that directly address food security include: water programs which increase production of food staples, contribute to clean water supplies, or improve efficiency of water use; microenterprise programs which improve the food-supply chain or increase household income, and; climate change adaptation programs which mitigate impacts to vulnerable populations. Activities that indirectly address food security include those which strengthen financial services, foster enabling business environments, promote enterprise development, address natural resource degradation, increase water availability, or promote crops' resistance to climate variability.

C.3 Global Climate Change

Climate change, increased temperatures, altered rainfall patterns, rising sea levels, melting glaciers, and more frequent extreme weather events pose serious threats to developing countries. These impacts threaten development gains in health, economic growth and resource management, and endanger stability by increasing poverty and the potential for conflict over scarce resources. Climate change adaptation activities aim to help households, communities, societies, and economies cope with these impacts. Adaptation activities also include consideration of changing climate conditions in the planning and implementation of development projects in areas like health, infrastructure, water, and agriculture, so that these projects are resilient to anticipated climatic changes.

The United States is committed to expanding its international climate change mitigation and adaptation efforts, including programs and assistance to fulfill commitments from the December 2009 UN Climate Change Conference in Copenhagen, while integrating climate change considerations throughout the USG development portfolio. The DGP will support USAID's applied research and analysis, as well as tool and guidance

development and dissemination, and project implementation to make development assistance “climate resilient” across all sectors. USAID Missions are partnering with developing countries most capable of implementing the policy reform, institutional modification and stakeholder involvement required for climate-resilient development and climate adaptation.

C.5 USAID Forward: Implementation and Procurement Reform (IPR)

IPR efforts aim to strengthen the capability of USAID staff to be development entrepreneurs, including contracting with and providing grants to more and varied local partners, and creating true partnerships to establish the conditions in which aid is no longer necessary in the countries where USAID works. One of the six objectives of IPR is to strengthen local civil society and private sector capacity to improve aid effectiveness and sustainability, by working closely with implementing partners on capacity building and local grant and contract allocations. The DGP strengthens civil society by providing direct grants to new and nascent partners and by building their capacity to both manage complex development programs and better meet the needs of their constituents. In addition, by empowering grantees to identify organizational strengths and weaknesses and then working with them to procure local or regional institutional and capacity development support, the DGP aims to strengthen the market for capacity development services.

C.6 UN Security Council Resolution 1325 on Women, Peace and Security

USAID supports UN Security Council Resolution 1325 which calls for supporting the essential role played by women in all aspects of peace and security, recognizing their leadership in peacemaking, and ending sexual violence in conflict. Particularly in the context of applications which include water supply, sanitation, and hygiene activities, the DGP encourages all applicants to consider the guidance contained in UN Security Council Resolution 1325 on Women, Peace and Security.³ **Through this RFA, up to \$14 million may be made available for projects which directly address the objectives of UN Security Council Resolution 1325.**

USAID promotes community-based participation as crucial to successful program interventions, as it draws on those best informed about what is needed and what will work. This approach also addresses the vital issue of cultural understanding by involving both men and women from the community to explain their needs and capacities. Local men and women must be fully integrated in all aspects of program design and implementation; those lacking experience in these areas can be guided through the process and taught management and monitoring techniques. Strong community participation makes the difference between success and failure.

USAID is committed to strengthening women’s rights and strives to increase the contributions women make to economic, political, and social development. By addressing gender inequities and constraints grounded in entrenched gender roles and power dynamics that impact both men and women, USAID will strengthen the effectiveness of its development programming. In conflict-affected countries it is

¹ On October 26, 2010, Secretary Clinton gave remarks at the 10th anniversary of UN Security Council Resolution 1325 on women, peace and security. In her remarks she noted, " Fourteen million dollars will also go to nongovernmental organizations working to make clean water more available in conflict zones, because in these areas, when women and girls go looking for water they are at higher risk of being attacked. ". Her complete remarks can be found [here](#).

particularly important to ensure that women are included in all aspects of conflict prevention, peace building and peace negotiations, and post-conflict reconstruction. For additional information, please see http://www.peacewomen.org/security_council_monitor/ and http://www.usaid.gov/our_work/cross-cutting_programs/conflict/in_the_spotlight.html

D. USAID MANAGEMENT OF THE DGP

The DGP is a USAID Mission-driven program coordinated by USAID's Washington D.C.-based Division of Private and Voluntary Cooperation in the Office of Development Partners (ODP/PVC), an independent office under the USAID Administrator. USAID Missions will negotiate awards and administer all grants and Cooperative Agreements awarded under this DGP RFA. Each participating USAID Mission will review applications submitted for the DGP and will lead the selection, negotiation, issuance and administration of its awards. Following award, the Recipient will be assigned an Agreement Officer's Technical Representative (AOTR), formerly known as the Cognizant Technical Officer (CTO), in the Mission who will have USAID technical management responsibility for the award and will be the point of contact for the recipient. The Agreement Officer (AO) and the AOTR will be responsible for receiving financial reports and processing any modifications to their awards.

ODP/PVC provides overall guidance, responds to requests for assistance from Missions, ensures transfer of funds to Missions as appropriated by the Congress and allocated by USAID. ODP/PVC does not review applications, but may assist participating USAID Missions as requested. ODP/PVC also manages capacity building assistance to NGOs as described below.

E. CAPACITY DEVELOPMENT OF GRANTEES

A key component of the DGP is to enable grantees to develop their organizational and technical capabilities. USAID's aims to create stronger, flexible and sustainable organizations which can rapidly respond to the evolving needs of those they serve. Organizations which receive DGP awards will have access to capacity development support to enhance their organizational and/or technical capabilities. The nature of this support is determined by requirements in this RFA, as well as through USAID Missions' ongoing discussions with and assessments of DGP finalists.

To strengthen the capacity of DGP grantees, USAID Missions may either empower grantees to purchase the training and support they require or Missions may decide to withhold capacity development funds from grantees' budgets in order to centrally manage the capacity development services for grantees. In addition to grantee and/or Mission procurement of capacity development support with DGP funds, ODP/PVC may provide additional support via local or regional organizational capacity development experts.

Appendix D provides additional guidance on this component, including resources and tools that Applicants can use to assess their organizational capacity.

F. SUBSTANTIAL INVOLVEMENT

Should the responsible USAID Mission choose to award a Cooperative Agreement (CA) and not a grant, USAID will maintain a greater degree of involvement of award implementation in order to assist the Recipient in achieving the supported objectives of the CA. USAID expects to be substantially involved during the period of performance of a CA. Specifically, the Agreement Officer's Technical Representative (AOTR) may be involved in the following ways:

1. Review the documented roles and responsibilities of key personnel appointed during the period of performance and verify that any achievements and duties appear consistent with the requirements of the position.
2. Verify recipient's annual work plans, and monitoring and evaluation plan; Verify that any work plans, work plan amendments, or monitoring and evaluation plans submitted by the awardee(s) are consistent with the purpose of the award, and support the achievement of the goals, objectives and results proposed by the awardee(s).
3. Manage Agency collaboration/participation, if any, as described in USAID's Automated Directives System (ADS) Section 303.3.11(c). (The ADS is available on-line at USAID.gov.)
4. Verify that the technical parameters of any mid-term and/or final evaluations are consistent with the awardees' proposed objectives and that the qualifications of nominated evaluator(s) are consistent with meeting the requirements of the parameters, i.e., statement of work.
5. Concur with any sub-awards (cooperative agreements, grants, endowments or contracts).
6. Request such other reports, returns or information that may reasonably be construed as necessary to meeting USAID's internal and/or external reporting requirements or as may be necessary to inform responsible USAID officials of the progress of the Cooperative Development Program.
7. With advance notice and specification of the purpose(s), visit selected sites.

Note: In accordance with the Code of Federal Regulations, 22 CFR 226.25, the Recipient is required to obtain the Agreement Officer's prior approval for any sub-award, transfer or contracting out of any work under an award.

G. KEY PERSONNEL

The AOTR will verify that personnel designated as key to the successful completion of the award objectives possess the requisite experience, qualifications and skills.

H. REPORTING

DGP recipients will be required to submit an annual work plan, quarterly financial reports, annual reports and a final end of project report according to standard USAID requirements. The list of reporting requirements and formats will be finalized at the time of award by the AO or if delegated, by the AOTR. The annual work plan will

include a monitoring and evaluation plan, as USAID will be managing for measurable results. The AOTR may require quarterly progress reports for that purpose. The DGP work plan will be aligned with the goals of the recipient’s program description and contribute to the expected results. Financial reporting will be in accordance with the requirements of the final award document. **Mid-term (as appropriate based on period of performance) and final independent evaluations are required and funds to support these evaluations may be requested in the grantee’s budget.**

The Recipient will submit the above reports to the Mission AOTR. The timing, format and other instructions will be agreed by the AOTR and the recipient’s key personnel at the time of award.

On receipt of an award, the recipient will be responsible for submission of the following reports to the AOTR:

| Report | Due |
|--|---|
| 1. Annual Work Plan | As requested by AOTR for first year and each subsequent year. |
| 2. Semi-Annual Reports | Within one month of the end of each six-month period. |
| 3. Quarterly financial reports (SF269, 269A and/or 272) | Within 45 days of the end of each FY quarter. |
| 4. Interim evaluation | At such time as may be mutually agreed, but not later than 18 months after the project start. |
| 5. Final evaluation | Not later than one year of the completion of the award. |
| 6. Assessments, evaluations, manuals, training plans and materials, etc. | As mutually agreed. |
| 7. Accrual Reports | Not later than ten days before the end of each financial quarter. |
| 8. Reports of achievements against standard and/or customized indicators | As requested by AOTR and consistent with USAID reporting requirements. |

I. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services for this action is 935. The authorized geographic code for procurement of commodities for this action is 935. The Mission may authorize a local geographic code. For more detailed information regarding the authorized geographic code please reference the Agency’s Automated Directive System, Chapter 312: <http://www.usaid.gov/policy/ads/300/310.pdf>.

J. GEOGRAPHIC FOCUS AND SECTORS

The DGP is a program with focused USAID Mission participation from Africa, Asia, Europe and Eurasia, the Middle East, and Latin America and the Caribbean. The list of USAID Missions participating in this RFA by sector is provided in the cover letter of this RFA as well as in Attachment 01 “USAID Participating Missions and Mission-Specific Information.” **Applicants should not submit concept papers to receive funds in a country that is not listed unless a participating USAID Regional Mission**

requests applications for a country it supports. Countries covered by each Mission are listed in the Mission-Specific Information in Attachment 01. Activities in all countries are subject to legal and policy restrictions that may change without prior notice.

Development sectors to be addressed by the DGP under this RFA are microenterprise, water, and climate change adaptation. Concept papers should only request support for activities that fall under the Agency's definitions for the three sectors and more specifically, for types of activities specified in the Mission-specific guidance. It is preferred that applicants select only one DGP sector focus per concept paper.

K. DETAILED SECTOR DESCRIPTIONS

The following sections describe in detail the background, program areas and illustrative activities for the three sectors Missions will fund under this RFA: water, microenterprise, and climate change adaptation. Links are provided for additional information. Applicants should review this section for an understanding of all of the possible types of activities the DGP can fund. **After reviewing the relevant sector(s) below, Applicants should turn to Attachment 01 to learn which activities among those listed below a particular Mission would like to fund.**

We recommend that applicants first review the mission-specific information given in Attachment 01 and then use that information to inform the review of the information below.

K.1 WATER SECTOR ACTIVITIES

Sound water management and access to water and sanitation are critical to human development and community health. USAID is working to help achieve a water-secure world where people and countries have reliable and sustainable access to an acceptable quantity and quality of water to meet human, livelihood, production, and ecosystem needs. USAID's strategy for the water sector reflects an integrated approach that emphasizes access to safe water supply and sanitation and improved water resource management and productivity. Water resource management reflects the strengths and weaknesses of local, national and international governance systems and relations among countries that share water resources and are greatly influenced by water resource scarcity and consequent conflict.

While competition among users of water can result in conflict, conflict in turn impedes the ability of many to safely obtain clean water. For this reason, in the water sector in particular, USAID strongly encourages applicants to consider the USAID commitment to meeting the UN Security Council Resolution 1325 (described above in Section C.6 on Agency Priorities and Initiatives). **Through this RFA, up to \$14 million may be made available for projects which directly address the objectives of UN Security Council Resolution 1325.**

The USAID missions that will participate in the DGP and will accept concept papers for the water sector are listed both in the cover page of this RFA and in the beginning of Attachment 01. Applicants should first consider the mission-specific information in Attachment 01, and then review the information below.

Applications may be considered in the following areas*:

- K.1.a. Water supply, sanitation and hygiene (WSSH)
- K.1.b. Water resources management (WRM)
- K.1.c. Water productivity
- K.1.d. Disaster risk reduction (DRR)

For each of these four areas, a description and a list of the types of activities eligible for funding are given below.

*Please note, for this RFA, the majority of USAID funding in this sector is available in the WSSH area.

K.1.a. Water Supply, Sanitation and Hygiene (WSSH)

USAID's substantial investments in water supply and sanitation reflect the urgent need to safeguard water resources for the well-being of both people and the environment throughout the developing world. To realize these goals, USAID is following a multi-pronged approach in the water and sanitation sector, which includes the following:

- building capacity of small-scale service providers
- strengthening water and sanitation utilities
- mobilizing domestic capital for infrastructure development
- improving household and community-level hygiene and sanitation
- exploiting synergies between disaster relief efforts and water and sanitation projects

Illustrative activity types under the Water Supply, Sanitation and Hygiene area include:

- The provision of/access to (preferably "improved"⁴) safe drinking water supplies, including but not limited to:
 - water well development, improvement, or rehabilitation;
 - water delivery and distribution systems;
 - large scale water treatment and small-scale or household point-of-use (POU) treatment systems (for removal of contaminants); and
 - capacity improvement of municipal and community governments and both public and private organizations.
- The provision of/access to sanitation facilities at the household level including but not limited to:
 - municipal and small-scale community-managed wastewater collection and treatment infrastructure;
 - household sanitation facilities; and
 - household-level technologies and products, such as soap and hand washing devices.
- The provision of/access to public or shared improved sanitation facilities in communal or institutional settings (e.g., schools, health clinics, public markets, etc.).⁵
- Improvements in the quality or accessibility of existing drinking water supply or sanitation services. This includes but is not limited to:
 - increasing the number of hours of water access per day or quantity of water available from a networked water system;
 - improving the quality of water delivered by a system;

⁴ The availability of at least 20 liters per person per day from an "improved" source within one kilometer of the user's dwelling. An "improved" source is one that is likely to provide safe water, including household connections to a water supply distribution network, public standpipes (connected to networked systems, or from a community well or surface water source), boreholes, protected dug wells, protected springs, and rainwater collection. Access to improved sources can be rural or urban, and may be provided through utilities, community-based systems, self-supply, and/or other long-term and permanent systems. Unprotected wells, unprotected springs, rivers or ponds, vendor-provided water, bottled water, tanker truck water (e.g., for emergency purposes) are not considered to be sustainable improved sources.

⁵ Facilities must adequately separate human excreta from human contact and have a sustainable management and maintenance system in place, as well as sufficient hygiene facilities.

- improving the maintenance of systems and reducing the number of days out of service;
- increasing the number of household connections for people who already have access to another communal improved source; and
- treating drinking water at the system or community level, prior to distribution to users (including treatment plants, chlorination and filtering at the source or point-of-use (POU), etc.).
- Provision of/access to multiple-use water services that include both domestic drinking water supply and water supply for productive use needs of the community (e.g., small-scale agriculture/gardening, livestock, microenterprise, etc.).
- Hygiene promotion activities to support behavior change in key areas including hand washing, feces management (including sanitation promotion and marketing), and household point-of-use (POU) water treatment. Magnification of messages through media and innovative communication including promotion through school and health clinic programs.
- Community mobilization for sustained management of drinking water supply and sanitation facilities, Community Based Total Sanitation (CBTS), sanitation marketing, and social marketing of products and behaviors like point-of-use (POU) drinking water.
- Protection of surface water and groundwater quality of potable water supply system from direct contamination prior to distribution to users. This includes but is not limited to:
 - installation of barriers to prevent access to the water point by animals, people, or other contamination sources;
 - water quality protection activities where there is a direct, and specific cause-effect linkage between the contaminating activity and a drinking water source; and
 - promotion of practices that protect these supplies from contamination by improper handling of domestic water and household waste and inadequate sanitation.
- Enabling environment interventions including but not limited to:
 - legal, regulatory, policy, and governance strengthening or reforms needed to sustainably finance, operate, and maintain potable water and sanitation systems and infrastructure; and
 - community organization, and the establishment of public-private partnerships.
- Institutional strengthening, capacity building, or reform of government, community or private actors in water supply and wastewater services, including but not limited to:
 - technical and financial aspects of system management, large-scale utility corporatization, improved cost recovery, and innovative financing.
- Water infrastructure financing at all scales, including increased access to credit, strengthening of domestic private capital markets, and facilitating support from domestic financial institutions.

K.1.b. Water Resources Management and Adaptation to Climate Change

The objectives of water resources management (WRM) include optimizing the benefits of drinking water among competing uses while ensuring that human needs are met and environmental resources are protected, as well as supporting efforts to manage and/or

adapt to hydrological variability and the risks of floods and droughts. Achieving these objectives requires governance and management approaches that guide the effective and sustainable use of limited water resources.

Please note: Applicants with a climate change adaptation component should consider whether their projects fit best in in this sector (section K.2.b) or in the climate change adaptation sector (section K.3).

Illustrative activity types under the water resources management area include:

- Improving water resources planning by governments, civil society and communities for watersheds, river basins, or lakes, including but not limited to:
 - broad-based policy development and institutional strengthening, based on multi-stakeholder input and dialogue; and
 - managing hydrologic variability.
- Water demand management and water conservation promotion in the domestic, agricultural, industrial/commercial, or energy sectors.
- Information collection, analysis, and management related to water supply and quality, aquatic life, and habitat protection in support of sound decision-making and sustainable resource management, including but not limited to:
 - surveys, hydrologic water balance assessments, flow modeling, water quality monitoring, and remote sensing/GIS analysis.
- Improving disaster prediction, preparedness and response via early warning systems, hydro-meteorological monitoring, modeling, forecasting.
- Activities to strengthen adaptation to climate variability or change and reduce vulnerability to altered hydrology and water-related climate extremes.
- Water resource management policy reform or legal/regulatory strengthening, including that related to decentralized resource management authority, water rights, stakeholder participation, water quality standards, etc.
- Transboundary WRM focusing on data sharing and common protocol development in river basins shared by two or more countries.
- Education, outreach and communications to promote the sustainable management of watersheds and surface water and groundwater resources.
- Best management practices in land use, vegetation, and soil and water management to ensure long-term water resource sustainability.
- Strategies and structures to protect water quality and supply (for uses other than those strictly covered under WSSH), including but not limited to:
 - point and non-point source pollution prevention and control;
 - groundwater/aquifer protection and management; and
 - water safety planning and implementation.
- Protection of watersheds and water resources environmental services including establishment of Payment for Environmental Services (PES) schemes to support such management.
- Water harvesting and storage infrastructure design, construction, and management at all scales (for water uses other than those strictly covered under WSSH).
- Flood management and drought risk reduction activities [which address circumstances not necessarily directly related to climate change].

- Wastewater reuse to meet domestic, productive, or ecosystem water needs.
- Freshwater and coastal ecosystem management activities that promote the conservation and sustainable use of water, thereby protecting the quality of surface water and groundwater for drinking, irrigation, and other uses, while maintaining aquatic ecosystem services provided by rivers, lakes, aquifers, fisheries, wetlands, and coastal environments.
- Promotion of environmentally sound technologies and clean production practices that reduce the amounts of raw material, water, and energy used in agricultural, industrial, manufacturing, and other production processes.

*Please note that USAID strongly encourages work in the area of WSSH. Applications with primary activities falling in the WRM, water productivity, and DRR areas will be considered but many Missions may require a secondary linkage of activities to WSSH objectives as well. Please be sure to carefully read Mission-specific guidance in Attachment 01 on these details.

K.1.c. Water Productivity and Food Security

Economic activities ranging from agriculture and mining to industrial production require a dependable water supply of sufficient quantity, quality and timing. Fisheries-related production is completely dependent on predictable and high-quality supplies of freshwater or healthy estuarine and marine waters.

USAID's water productivity improvement programs seek to maximize the efficient and productive use of water in industrial, agricultural (including food security), energy (hydropower and thermal power plant cooling) and other use and consumptive sectors, and to support pollution prevention programs and programs that reduce water losses and increase recycling.

Illustrative activity types under the water productivity and food security area include:

- Helping countries adapt their agricultural systems to hydrologic variability and climate change, including but not limited to improving water use efficiency in agriculture through programs which:
 - emphasize irrigation system efficiency;
 - work with public and private extension services to increase farmers' adoption of improved production technologies, systems, and appropriate crops for specific environments;
 - promote the reuse of treated wastewater for agriculture, where appropriate;
 - improve water supplies to livestock;
 - improve water-related agricultural soil and water management practices;
 - develop and implement improved aquaculture production technologies and systems that increase yields while reducing water demand, with research institutions where appropriate; and
 - promote sustainable fisheries management and the use of aquaculture species and systems that improve or do not degrade water quality.
- Reducing water pollution by industry.
- Improving water use efficiency in cities.

*Please note that USAID strongly encourages work in the area of WSSH. Applications with primary activities falling in the WRM, water productivity, and DRR areas will be considered but many Missions may require a secondary linkage of activities to WSSH objectives as well.

K.1.d. Disaster Risk Reduction (DRR)

Water is a key variable in the causes and impacts of many natural disasters. Many of the devastating consequences of hydro-meteorological disasters such as floods, droughts, and cyclones are avoidable – caused or exacerbated by poor management of land and water resources, or inadequate disaster planning, preparation, and response. Hydro-meteorological DRR activities have strong linkages to the management of natural resources, including water, and seek to build resilience to better enable countries and communities to prepare for and cope with serious events when they occur. Many are aimed at reducing vulnerability to these hazards through integrated multi-sectoral approaches that address the needs of populations, while emphasizing capacity building and locally sustainable and environmentally sensitive measures.

To adapt to and mitigate the impact of natural disasters, climate variability, and global climate change, USAID works with developing countries in the areas of risk planning, disaster forecasting and reducing vulnerability.

Illustrative activity types under the DRR area include:

- Risk planning which helps countries integrate risk reduction to droughts and floods into water resources management plans in order to reduce the number of extreme weather events that turn into disasters.
- Disaster forecasting, including the installation and management of disaster monitoring and warning systems, to provide advance warning of impending natural disasters and reduce their impact on human health, economies, and the environment.
- Reducing vulnerability by ensuring that inappropriate land-use zoning and perverse subsidies for disaster insurance are replaced with measures and incentives that promote risk and vulnerability reduction and the restoration of healthy ecosystems.

Additional Resources – Water Sector

USAID main public "water" Web page: http://www.usaid.gov/our_work/cross-cutting_programs/water/

Drinking Water, Sanitation and Hygiene: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_sanitation.html

Water Productivity and Efficiency: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_productivity_efficiency.html

Water Governance and Regulation: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_governance_regulation.html

Water and Natural Resources Management: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_natural_resources.html

Water, Natural Disasters, and Climate Change: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_disasters_climate_change.html

http://www.usaid.gov/our_work/global_health/eh/index.html

http://www.usaid.gov/our_work/global_health/eh/techareas/improvement.html
http://www.usaid.gov/our_work/global_health/eh/techareas/targets.html
http://www.usaid.gov/our_work/global_health/eh/techareas/pou.html
http://www.usaid.gov/our_work/global_health/eh/techareas/sanitation.html
http://www.usaid.gov/our_work/global_health/eh/techareas/reconstruction.html

K.2 MICROENTERPRISE SECTOR ACTIVITIES

In this era of globalization, generating economic growth in developing countries while reducing poverty is a fundamental development challenge. To ensure that the contribution of microenterprises⁶ to key subsectors and national economies is maximized, and to ensure that the poor are not left out of market development, micro and small enterprises (MSEs) need access to finance, business services, and improved inputs; they also need a conducive enabling environment that facilitates rather than inhibits their participation in markets.

USAID's vision for microenterprise development involves addressing the needs of poor people within the context of globalization and dynamic domestic and global markets to help them harness the resources they need to participate meaningfully in markets.

Applications may be considered in the following areas:

1. Inclusive Financial Markets: Improving access to financial services tailored to the needs of poor households, including credit, deposit services, insurance, and remittance and payment services;
2. Microenterprise Productivity: Enterprise development, to improve productivity and market potential for microenterprises, and
3. Policy Environment for Micro and Small Enterprises: Strengthening the enabling environment through efforts to reduce regulatory, policy and administrative barriers that limit the opportunities of micro and small firms.

Since 2001, USAID has promoted an integrated approach to microenterprise development that reflects the inherent inter-connectedness between each of the Agency's three microenterprise technical pillars. For both Financial Services and Enterprise Development, applications may include a focus on improving policies and regulations in sectors of particular importance to microenterprises and poor households. Applicants are encouraged to submit innovative applications for programs which address:

- (1) economic growth with poverty reduction;
- (2) food security;
- (3) conflict mitigation/post-conflict recovery; and
- (4) vulnerable populations/economic vulnerability.

Illustrative examples follow after each major technical area below.

⁶ Effective January 1, 2008, USAID's definition of a microenterprise has been revised and simplified. A microenterprise is now defined as:

A very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the micro-entrepreneur and any unpaid family workers. Crop production activities, previously excluded from the scope of the definition, are now included as long as they otherwise qualify on the basis of enterprise size and the economic status of the owner-operator and employees. The revised definition applies both to programmatic policy and to budgetary and results reporting. See reference documents ADS 219, www.usaid.gov/policy/ads/200/219.pdf and gopher.info.usaid.gov/policy/ads/200/updates/index.html

K.2.a. Inclusive Financial Markets

USAID's investments in financial services emphasize asset accumulation and protection for the poor (client level), building client-responsive and sustainable institutions (retail institution level), and helping microfinance providers exit from donor support (market level). Client-level investments deepen access to financial services for populations that are marginalized and under-served due to socio-economic status, gender, age, religion, culture or ethnicity, location, or the impact of conflict and disaster. Investments at the retail level continue to emphasize the operational and financial sustainability of financial institutions as well as their commitment to deliver products and services that meet the diverse needs of the poor and which uphold generally accepted industry consumer protection principles.⁷ Market-level investments encourage microfinance institutions to transition to commercial (rather than donor) sources of capital and to develop productive partnerships with private-sector institutions.

Illustrative activities in microfinance include those that deepen outreach to underserved market segments by:

- Increasing access to financial services among rural and remote populations. This may include, but is not limited to, credit, savings, insurance, remittances and payment services, such as sustainable, demand-driven mobile banking services⁸;
- Developing appropriate products for the more vulnerable segments of the population which may include some of the examples listed above;
- Forging strategic partnerships with non-financial players to provide value-added services;
- Facilitating increased linkages between remittances and microfinance services like savings, insurance, or credit; and
- Increasing access to financial services in conflict and post-conflict environments.

K.2.b. Microenterprise Productivity

USAID advocates an approach to enterprise development that integrates micro and small enterprises into growing value chains while improving their bargaining power, expanding their access to business and financial services, and addressing their needs for a conducive enabling environment. The aim of this work is to enhance these firms' access to markets and their capacity to take advantage of market opportunities. Successful value chain development strengthens the competitiveness of value chains as a whole while also expanding the depth and breadth of benefits for microenterprises participating in those value chains.

⁷ See <http://www.smartcampaign.org>

⁸ Mobile Banking refers to the provision of banking and financial services conducted through the use of mobile telecommunication devices, including mobile phones. The scope of services may include facilities to conduct bank and stock market transactions through existing accounts, to administer accounts and to access customized information. Note that financial intermediaries undertaking mobile banking must have appropriate back office systems in place prior to adopting alternative delivery channel front-end technologies (such as mobile phone banking), and should do so in compliance with prevailing national banking regulation.

Illustrative activities under Microenterprise Productivity include:

- Facilitating links between microenterprises and larger firms, enabling or strengthening microenterprise participation in the value chain;
- Promoting various forms of upgrading in the value chain through strategic direct technical assistance, expanded access to appropriate finance and other supporting services, and improved relationships between buyers and sellers, at both domestic and international levels;
- Supporting formal or informal linkages among microenterprises to agglomerate products for sale, add value, or increase bargaining power;
- Addressing financing constraints that limit microenterprise participation in value chains; and
- Adapting value chain programming for conflict and post-conflict affected countries.

K.2.c. Policy Environment for Micro and Small Enterprises

The enabling environment remains an important area of investment for USAID, recognizing that favorable business, financial policy, and investment climates are critical to successful, sustainable microenterprise development. An enabling regulatory environment is a critical driver to formalize microfinance institutions (MFIs) and integrate them into the mainstream financial sector. The legal and regulatory framework can also have a significant impact on investor confidence in the transition to private capital. USAID supports the reform of laws, risk-based regulations, and policies to facilitate the creation, operation, and growth of microenterprises and to expand access to financial and other services by the underserved poor.

Enabling environment and institution-level interventions for financial services might include:

- Advising central bank and other relevant regulators on policies and regulations that promote competition, innovation, client protection principles, and financial inclusion while supporting the regulator's mandate to protect the stability of the financial system;
- Building the capacity of national networks to advocate for reform;
- Strengthening the supervisory capacity of regulatory bodies;
- Continuing to support the further development of industry standards, such as ratings initiatives and credit bureaus, to increase financial transparency;
- Proposing innovative solutions, supported by appropriate regulation, to help close the "quality gap" in microfinance services by shifting focus away from increasing an MFI's number of clients to focusing on the quality and range of services provided by the MFI.

The DGP encourages concept papers that promote anti-corruption efforts and tax reform, including anti-corruption efforts that might be linked to remittance flows.⁹

Business environment interventions for enterprise development might include:

- Helping countries streamline their business registration process;

⁹ See <http://treas.gov/offices/enforcement/programs> and http://www1.worldbank.org/finance/html/amlcft/docs/aml_implications_complete.pdf

- Building the micro and small enterprise (MSE) capacity to advocate for policy reforms through independent business associations;
- Promoting anti-corruption efforts and tax reform; and
- Conducting financial literacy training and other consumer protection education initiatives.

K.3 CLIMATE CHANGE ADAPTATION SECTOR ACTIVITIES

Global climate change has important implications for development – it presents both potential risks and opportunities, because of its broad impact on all sectors of an economy while also driving creative and innovative efforts focused on adaptation and mitigation. The poorest countries, with high vulnerability to climate change and limited capacity to prepare and respond, face the most difficult challenges. Projected impacts such as sea level rise, salt water intrusion into freshwater sources, increased drought periods, increased frequency and intensity of storms, and others threaten to stall or reverse development gains, undermine investments in food security and global health, as well as create new potential for conflict over land and resources. Achieving sustained, long-term development success depends upon developing countries starting down a pathway of low-emissions, climate-resilient development.

To improve developing country citizens' standard of living, countries must develop their economies and societies in a way that is able to withstand the impacts of a changing climate. Achieving this goal and maintaining progress toward Millennium Development Goals requires collaboration among U.S. government agencies, partner countries, donors, the private sector, NGOs, the research community, and particularly vulnerable populations. Working together to facilitate adaptation will help to increase the resilience of vulnerable countries, communities, and ecosystems to climate change impacts. Adaptation activities also help to preserve development gains in relevant sectors such as democracy, food security, health, economic growth and natural resource management.

The U.S. government is expanding its international climate change efforts, taking steps to integrate climate change throughout development assistance and working to fulfill commitments that resulted from the December 2009 UN Climate Change negotiations in Copenhagen. The U.S. has dedicated significant additional funding to climate change adaptation from 2010 to 2012. USAID-supported global climate change activities are a significant component of the U.S. pledge.

To further climate change adaptation, the DGP will support programs that respond to needs and opportunities identified in areas such as capacity building, tool and guidance development and dissemination, applied research and analysis in support of an adaptation activity, and project implementation.

Programs should address a specific climate vulnerability in a key economic sector for the region or community. National and regional information on climate vulnerabilities can often be found in countries' National Communications to the United Nations Framework Convention on Climate Change (UNFCCC) or in analyses conducted by outside entities such as McKinsey and the World Bank. A number of resources are available at www.adaptationlearning.net. Where existing assessments do not address chosen target sites, grantees may use a small portion of their funds to do targeted vulnerability assessments and stakeholder consultations in order to ensure that implemented activities respond to local risks and priorities. Another option if existing, relevant assessments do not exist is to conduct a stakeholder needs assessment, for example by convening a group of relevant stakeholders in a full day discussion session to identify key economic drivers or

development objectives, relevant climate stresses, and appropriate interventions to address those stresses in a region or community.

Proposed programs should also improve the resilience of USAID development assistance across relevant sectors. USAID missions are partnering with the most vulnerable developing countries to undertake activities such as capacity building, policy reform, institutional change and information sharing to support decision-making required for climate-resilient development and climate adaptation. For example, a recent DGP grant is supporting training and stakeholder consultations on addressing the impacts of a changing glacier-fed water cycle. The program is building on the recommendations of a USAID and National Science Foundation workshop that brought together researchers and decision makers to identify action and research needs.

The following are sample types of activities that would fall under USAID's definition of Climate Change Adaptation:

- Science, analysis, and information-sharing for decision making
 - Developing or improving tools or methods for sharing climate information among government, NGO's, the private sector, academia, and local communities. This, for example, might include developing an internet-based community for stakeholders to post or share climate-related resources, or a series of workshops to demonstrate the use of satellite-based maps to local decision makers to aid their adaptation planning.
 - Helping practitioners and government officials access and apply climate information to decision-making by, for example, instituting a seasonal weather forecast tailored to decision needs.
 - Advancing modeling and research to better understand climate impacts in relevant regions or sectors, such as on the impacts of coral bleaching in a community that relies on coastal tourism.
- Building capacity for effective governance for climate resilience
 - Strengthening government and local communities' capacity to respond to and communicate on climate-related disasters, such as floods and droughts, for example by involving local stakeholders in the development of a community response plan and helping local citizens understand that plan through community fora and mock drills.
 - Building capacity among decision-makers to use hydro-meteorological data to inform climate-resilient planning, such as appropriate zoning for local land.
 - Enhancing the capability of public health systems to respond to climate risks, by, for example, developing climate related health early warning systems, installing back-up electrical power systems or solar-powered refrigeration to store medical supplies.
- Implementation of climate solutions, such as:
 - Increasing water storage in water-stressed areas to manage increased variability in water supply.
 - Improving agricultural practices, such as water harvesting, to make them more sustainable in agriculture-dependent areas that are vulnerable to climate change impacts.
 - Developing community flood management plans to reduce vulnerability to rising sea levels, or more intense storm events.
 - Starting-up community-based natural hazards management programs to prepare for, for example, flood risks during extreme weather events.
 - Reducing risks from climate stresses through activities that improve flood and famine early warning systems, improve water resources management, or meet critical infrastructure needs, such as all-season roads.

Applicants should explicitly describe the analysis, the vulnerabilities and the adaptations associated with proposed activities. Programs should monitor and report on impacts using one or more USAID climate change indicators, at least one of which must be a standard indicator. A list of reporting indicators is included in Appendix C.

Additional Resources - Climate Change Adaptation Sector

- Information on USAID's global climate change activities can be found at: <http://www.usaid.gov/climate/>
- The USAID Climate Change Adaptation Guidance Manual provides a framework for assessing vulnerabilities and identifying adaptation strategies. Projects are not required to use this manual, but it may be a useful resource. It can be downloaded at: http://www.usaid.gov/our_work/environment/climate/docs/reports/cc_vamannual.pdf.
- For access to historical weather data and projections of climate change for the decades of the 2030s and 2050s, the Climate Mapper can be downloaded for SERVIR Viz. The Climate Mapper is available at: <http://www.iaqt.org/focusareas/envmon/climatechg.aspx>
- Additional helpful resources related to adaptation planning and vulnerability assessments can be found at:
 - Climate One Stop: www.climate1stop.net
 - Adaptation Learning Mechanism: www.adaptationlearning.net
 - Community-based Risk Screening tool – Adaptation and Livelihoods: www.cristaltool.org

SECTION 2: AWARD INFORMATION

A. RANGE OF EXPECTED FUNDING LEVELS AND PERIOD OF PERFORMANCE OF INDIVIDUAL AWARDS

USAID expects to award multiple individual cooperative agreements and grants to local NGOs and U.S. PVOs to implement project activities for up to a five-year (5) period (unless otherwise specified by the relevant USAID Mission) to begin implementation in early FY2012. USAID anticipates awarding small grants of up to \$2,000,000 through this RFA. The award ceiling (maximum award) for any one award under this RFA is \$2,000,000. Participating Missions may choose to set award ceilings lower than the \$2 million maximum.

B. PROGRAM MANAGEMENT AND ADMINISTRATION OF AWARDS

Applicants must have established financial management, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations governing the specific award mechanism. All potential awardees will be subject to a financial responsibility determination issued by a warranted Agreements Officer in USAID that may include a pre-award survey and/or an audit.

SECTION 3: ELIGIBILITY INFORMATION

A. ELIGIBILITY REQUIREMENTS

To be eligible for an award, the applicant must submit their application, in its entirety. The following eligibility requirements will apply to both the principal Applicant and to any organization with which the prime Applicant may choose to share DGP implementation responsibilities and flow down funds (for example, through a sub-award, sub-grant or partnership).

1. U.S. PVOs

To be eligible for this program, U.S. PVOs must be registered (or in the process of being registered) with USAID to compete for a grant under the DGP. Only U.S. PVOs whose complete registration materials have been received by USAID at the time of concept paper submission are eligible. For registration information, see: http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/reg.html

U.S. PVO definition and 501(c)(3) status: The definition of PVO for USAID can be found under 22 CFR 203.2 “Definitions”. See definition No. (p) at the link below: http://edocket.access.gpo.gov/cfr_2006/aprqttr/22cfr203.2.htm.

2. Local NGOs

To be eligible for this program, a non-U.S. PVO applicant must:

1. Be a Local Non-Governmental Organization organized under the laws of the cooperating country or under the laws of a country in the region¹⁰ of the proposed activity;
2. Have its principal place of business in the cooperating country or region;
3. Be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the cooperating country or region; and
4. Attach official documentation of their formal legal status as an NGO in the host country or in a country in the region. Local NGOs are not required to register with USAID. Local NGO applicants must be non-profit organizations.

3. U.S. PVOs and Local NGOs

To be eligible for this program, organizations must not have received more than \$5,000,000 from USAID in direct assistance during the past five-year period (March 15, 2006 through March 15, 2011)¹¹. The \$5,000,000 threshold includes any type of assistance received directly from USAID through a grant or cooperative agreement during the five-year period. Applicants who have received indirect USAID assistance (sub-awards or other indirect assistance) totaling more than \$5,000,000 are eligible.

¹⁰ For a list of USAID Regional Missions and the countries supported by each Mission, please refer to the following USAID site: <http://www.usaid.gov/locations/missiondirectory.html>. This website includes a list of all Missions including Regional Missions.

¹¹ The \$5 million threshold criteria refers to the date a previous award from which your organization received USAID support was signed.

B. DGP PROGRAM REQUIREMENTS

Applicants must:

- Provide a cost-share match equivalent to, or greater than 10 percent for LNGOs and 15 percent for U.S. PVOs of the total project amount. The match may be in cash, in-kind, or a combination of both. All cash and in-kind contributions committed by partners must be documented;
- If proposing a public-private alliance with an organization or business, provide a copy of informal or formal agreements stipulating cash and/or in-kind contributions; and
- Propose technical implementation activities in a country (or countries, if regional) listed in this RFA. Note: Only regional Missions listed in the RFA will accept applications for multiple countries.

ODP/PVC cannot finance programs that are:

- pure academic research;
- only construction;
- commodity procurement;
- not focused on development (e.g. short-term emergency relief); or
- in violation of the standard provision “Equal Protection of the Laws for Faith-based and Community Organizations” (See Part F of Section 6 for the text of this provision).
For any questions about this standard provision, please contact the Center for Faith-Based and Community Initiatives: email: FBCI@usaid.gov, phone: to 202-712-4080; website: http://www.usaid.gov/our_work/global_partnerships/fbci/

Pursuant to 22 CFR 226.81, USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization) may be paid under the grant.

SECTION 4: CONCEPT PAPER INSTRUCTIONS (STEP 1)

There are two (2) Steps to the application under this RFA:

Step One (1): Submission of a concept paper (instructions below)

Step Two (2): Submission of a full application, if requested (instructions in Section 5)

Do not submit a full application unless requested to do so by a USAID Mission.

Missions will notify Applicants on or about May 20, 2011 whether or not to submit a full application. Applicants that are requested by a USAID Mission to submit a full application should follow the instructions included in Section 5 of this RFA.

Before submitting a concept paper under this RFA, it is recommended Applicants review the full application requirements in Section 5 to ensure the Applicant can meet all of the requirements listed therein. Reviewing these requirements will help the Applicant prepare for what must be done to increase the likelihood that their concept paper is successful.

A. CONCEPT PAPER SUBMISSION INFORMATION (STEP 1)

The federal grant process is now web-enabled. Beginning November 1, 2005, the preferred method of distribution of USAID RFAs and submission/receipt of applications is electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. **It is the responsibility of the Applicant to ensure that the application package has been received from Grants.gov in its entirety.** USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for email updates with Grants.gov so that as any future amendments to this RFA are posted, alerts will be received.

Applicants that have difficulty registering or accessing the RFA should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@usaid.gov for technical assistance.

Submission Instructions

1. **Electronic.** Send one electronic copy by email to the relevant Mission email address provided in Attachment 01, with a copy (cc) to DGP3@usaid.gov. Email submissions must include in the following in the subject line: "Concept paper for DGP-3, submitted to [name of bilateral or regional USAID Mission] by: [name of Applicant organization]."
2. **By Hand/ by post.** If required by the USAID Mission to which Applicant is applying as noted in Attachment 01, submit one (1) original plus two (2) paper copies of the concept paper to the USAID Mission contact (Attachment 01) in a sealed envelope with the name of the program (DGP-3), and the name, address and telephone number of the organization and contact person (Note: some Missions may only accept electronic submissions).

3. In addition, Applicants may upload applications to www.grants.gov (Funding Opportunity # M-OAA-GRO-EGAS-DGP-11-0001)

Fax: Faxed concept papers will not be accepted.

All concept papers (paper and electronic) must be received by the deadline or risk not being considered.

DEADLINE FOR SUBMISSION OF CONCEPT PAPERS

The deadline for concept paper submissions is 5:00 pm (local time at the receiving Mission) on April 25, 2011. Concept papers received after the deadline will only be reviewed at the discretion of the Mission. If both the paper and electronic applications are not received by the Mission by the above deadline, the application may be rejected.

Questions

Any questions about this RFA should be submitted in writing no later than March 28, 2011 to the following email address: QA-DGP3@usaid.gov. USAID/Washington will collect, organize and respond to these questions by posting a modification to the RFA on www.grants.gov and on the [USAID/ODP/PVC website](http://USAID/ODP/PVC) by April 1, 2011:

Please remember to register on www.grants.gov in order to receive email updates regarding any modifications or additional information that is posted regarding this RFA.

B. CONCEPT PAPER FORMAT AND INSTRUCTIONS

1. Concept Paper Format

All concept papers must be:

- A maximum of six (6) pages;
- Typed, single space on letter size, not legal size, paper;
- 12 font size; charts, tables and spreadsheets may be not less than 10 font;
- Written in English unless otherwise indicated by the Mission to which the concept paper will be submitted. To learn if a particular Mission will receive concept papers in a language other than English, see Attachment 01 "Mission Specific Information;"
- In Word (version 2000 or later) or Adobe PDF format;
- Spreadsheets must be in MS Excel (version 2000 or later) or in tables that are compatible with MS Word.

The six-page maximum does not include the cover page or attachments. The attachments must be concise and not be a continuation of the requested six-page content.

2. Concept Paper Instructions

Concept papers must respond to the Agency priorities and geographic focus and sector priorities of the RFA, as well as reflect the mission specific instructions listed in Attachment 01.

Important considerations for concept paper submission:

- If planning to submit a concept paper for more than one country, the Applicant must submit a separate concept paper for each country unless proposing to work in multiple countries through a USAID regional mission. Only participating regional missions may accept concept papers for more than one country;

- Carefully review Attachment 01 to ensure a USAID mission is both participating in the DGP, AND accepting applications for the sector relevant to the Applicant.
- While USAID encourages creative partnerships and innovative approaches, we also strongly encourage applicants to be realistic in stating what can be reasonably achieved in the proposed project given the proposed activities, budget and timeline.

Concept papers must include the following three (3) components. Please organize the concept paper according to the outline below.

a. Cover Page (does not count towards 6 page limit)

1. USAID RFA # M-OAA-GRO-EGAS-DGP-11-0001
2. Name and address of organization;
3. Contact person (lead contact name; telephone number, fax and e-mail Information);
4. Name(s) and title(s) of the principal author(s) of this concept paper;
5. Title of proposed program; country and DGP sector(s) being proposed; total dollar amount of funds requested for the project period;
6. Identify applying organization as a registered U.S. PVO or a Local NGO (LNGO);
7. Names of other organizations or donors to whom the Applicant is submitting the application and/or which are funding the proposed activities; and
8. Signature, name and title of the authorized representative of the applicant.

b. Technical Instructions (6 pages maximum)

The Concept paper must include:

1. **Situation analysis:** A brief background on the specific development challenge/opportunity to be addressed by the concept paper; include a description of the target population and how and where this project concept originated (for example: a village needs assessment; findings from/ the continuation of a different project; through an assessment of country/district level data, etc.);
2. **Proposed approach:** The proposed approach to this development challenge/opportunity; include goals, objectives, methods (activities), and anticipated results which are logically connected. Describe how the program will measure success and why the Applicant's organization is well suited to achieve the proposed objectives. Include any innovative methods or approaches, if any, in this concept paper, including associated risks and benefits. Discuss how the proposed project impacts men and women differently and how the project design incorporates gender concerns
3. **Connection to USAID goals and priorities:** How achieving these objectives will contribute to the accomplishment of the relevant USAID Mission's strategic goals and contribute to Agency priorities in food security, global climate change, and/or the global health initiative;
4. **Budget:** Proposed budget and timeline including type of budget support requested from USAID disaggregated by Direct program costs¹² as well as Indirect costs¹³;

¹² Direct costs include but are not limited to: Costs of salaries, workshops, travel, communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc

¹³ Indirect costs include: Costs that are incurred by an organization overall but that cannot be attributed directly to a specific project it is working on.

5. **Sustainability:** A discussion on sustainability: How beyond the life of the project will the proposed activities will be sustained after the grant ends;
6. **Capacity development:** A description of how the Applicant will utilize DGP capacity development funds to strengthen their organization;

For this component, applicants must submit a description of the capacity development objectives and activities they would undertake if awarded a DGP grant. It may be helpful to review the resources listed in Appendix D, and to consider what types of activities an applicant might undertake to improve their organization and impact. Would training on financial management be useful? Would it be helpful to have a staff development plan or a communications and marketing plan? Could staff benefit from project management or monitoring and evaluation training? What capacity development objectives can an applicant reasonably over the period of performance of their DGP award? For this component of the concept paper, USAID encourages applicants to consider their strengths and weaknesses as an organization, and to discuss how DGP funds might be used to help strengthen their organizations to achieve greater, longer lasting impact. See Appendix D for more information on assessing organizational capacity and creating organizational development plans.

7. **Partnerships:** Role of proposed partners (if any) (NGOs, government, academia and/or private businesses), why each was selected and how the Applicant will work with these partners in this proposed project. Note: As per DGP eligibility criteria listed in Section 3.A, eligibility requirements apply to both the principal Applicant and to any organization with which the prime Applicant may choose to share DGP implementation responsibilities and flow down funds (for example, through a sub-award, sub-grant or partnership).
8. **Cost Share:** Amount and source of cost share contribution in cash or in kind, by Applicant; Submit information indicating the financial and/or in-kind resources to be leveraged. **A cost-share or match from non-government sources of 10% or more for LNGOs is required. A cost share of 15% or more is required for U.S. PVOs.** Submit a written commitment by other organizations, donors or individuals.

For more information on Cost Share, see the full application Cost Share requirement in Section 5, A.11.

c. Attachments (includes past performance, institutional capabilities, and supporting information) (No page limit; but please be concise)

1. Statement of USAID assistance (directly or as a subgrantee) received during the preceding five year period. Organizations that did not receive USAID funds during the preceding five-year period must state this fact. Include a brief description of activities, donor(s) and amount of support received in the previous five years
2. Concise description of the Applicant's development experience including project descriptions, results and evaluations;
3. A brief statement of the history of the organization; its primary development focus, capabilities and challenges;
4. An organizational chart of the Applicant organization;
5. Proposed staff roles and responsibilities; and
6. Period of performance (i.e. life of project) work plan.

C. CONCEPT PAPER REVIEW CRITERIA

Concept papers will be reviewed using the following criteria:

1. Extent to which Applicant demonstrates understanding of the challenge/opportunity, the target population, country and sector(s);
2. Degree to which goal(s), objectives, methods and anticipated results are logically connected and represent a reasonable approach to the development challenge/opportunity; documented past performance consistent with type and scope of proposed activities; degree to which concept paper represents an innovative approach with an acceptable level of risk; degree to which project design incorporates gender concerns based on an analysis of how the different impacts on women and men that the project may have;
3. Degree to which implementation and results of the proposed activities will support and enhance the USAID Mission's sector priorities and Agency priorities;
4. Feasibility of the proposed budget, timeline and work plan and proposed staff appear sufficient for the proposed project;
5. Sustainability of proposed activities beyond grant period;
6. Specification of clear capacity building objectives and activities that will lead to achievement of those objectives;
7. Demonstrated creativity, logic and strategy in proposed partnerships;
8. Presence of a cost share component (required) and extent to which other partners would be involved;
9. Clarity and logical coherence of concept paper.

SECTION 5: FULL APPLICATION INSTRUCTIONS

Do not submit a full application unless requested to do so by a USAID Mission. USAID will only request full applications from Applicants who have submitted successful concept papers.

Missions will notify Applicants on or about May 13, 2011 whether to submit a full application or not.

If the Applicant has been requested by a USAID Mission to submit a full application, please follow the instructions below.

1. FULL APPLICATION SUBMISSION (STEP 2)

Submit full applications to the appropriate USAID Mission according to the instructions below. For Mission contact information, see Attachment 01

A. All applicants must send one copy by email to the Mission email address provided in Attachment 01 with a copy (cc) to DGP3@usaid.gov;

Email submissions must include in the subject line: "Full application for DGP3, submitted to [name of bilateral or regional USAID Mission] by: [name of Applicant organization]."

B. If requested by the relevant Mission in Attachment 01: Submit one (1) original plus two (2) paper copies of the full application to the USAID Mission contact in a sealed envelope with the name of the program (DGP3) and the name, address and telephone number of the applicant;

Fax: Faxed full applications will not be accepted.

DEADLINE FOR SUBMISSION OF FULL APPLICATIONS

The deadline for full application submission is 5:00 pm (local time at the receiving Mission) on June 24, 2011. If both the electronic and paper (if required) applications are not received by the Mission by the above deadline, the application may be rejected. Successful applicants will be notified in late July 2011 of their final status.

2. FULL APPLICATION FORMAT

A. Full application Format

- A maximum of twenty-five (25) pages;
- Typed, single space on letter size, not legal size, paper
- 12 font size; charts, tables and spreadsheets may be not less than 10 font.
- Technical and cost applications shall be submitted in one volume and all materials and supporting documentation must be in English unless otherwise indicated by the Mission requesting the full application.
- Text must be in a recent Windows-compatible version of MS Word (version 2000 or later) or Adobe PDF format;
- Spreadsheets must be in MS Excel (version 2000 or later) or a recent version of Lotus 1-2-3 or in tables that are compatible with MS Word.

The twenty-five page limit does not include:

- The cover page;
- Cost application;
- Table of contents;
- Dividers; or

- Appendices or attachments (such as the résumé or Curriculum Vitae (CV) for the proposed Project Director), however attachments must not be a continuation of the twenty-five page maximum.

For both the technical and the cost application, Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

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

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an Agreement is awarded to this Applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets (to be filled in by the Applicant)."

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

3. FULL APPLICATION INSTRUCTIONS

A. Technical Application Instructions

The table below lists the full application sections and page limits. **Please note, applications that do not include all of these sections will be considered incomplete and will not be scored.**

| Application section | Page limit |
|--|----------------------------------|
| 1. Cover Page | None |
| 2. Executive Summary | 1 page |
| 3. Technical Approach | 7 pages |
| 4. Innovation | 1 page |
| 5. Project Management Approach and Implementation Plans | 3 pages |
| 6. Planning Matrix | 2 pages |
| 7. Monitoring and Evaluation Plan | 2 pages |
| 8. Organizational Assessment and Institutional Capacity | 2 pages |
| 9. Gender Integration | 2 pages |
| 10. Institutional Capabilities/Past Performance | 2 pages |
| 11. Cost Share | 2 pages |
| 12. Environmental Compliance | 1 page |
| 13. Attachments (see Appendix F for required certifications) | no page limit; please be concise |
| Page Limit: 25 pages (not including cover page and attachments) | |

1. Cover Page

The cover page shall include:

- 1.1 USAID RFA # M-OAA-GRO-EGAS-DGP-11-0001
- 1.2 Name and address of organization;
- 1.3 Name(s) and title(s) of the principal author(s) of this application;
- 1.4 Title of proposed program; country and sector(s) being proposed; total dollar amount of funds requested for the period of performance;
- 1.5 Identify applying organization as a U.S. PVO or a LNGO;
- 1.6 Point of contact, hereafter referred to as the “agent,” with the authority to negotiate and sign on behalf of the applicant. The agent’s name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers should be included;
- 1.7 Names of other organizations to which Applicant is/has submitted the application and/or which are funding the proposed activities. If any partner organizations are included in the application, they should be listed separately and indicated as subordinate to the principal organization; and
- 1.8 A summary table that lists the primary applicant and all partner organizations as well as the percentage of overall program activities of each partner.

2. Executive Summary (1 page)

The executive summary must summarize the key elements of the applicant’s technical application, including, but not limited to, the technical approach (see next section), and any cost-sharing and/or public-private partnerships leveraging, if applicable.

3. Technical Approach (maximum 7 pages)

Please use clear logic describing the links between the context analysis, the program hypothesis, the objectives, methods and anticipated results.

- 3.1 Situation analysis: Describe the specific development context; include relevant background information and an analysis of the problem, opportunity or challenge in the proposed sector(s);
- 3.2 Location: Describe the proposed program area or region (provide a map with scale in an attachment). List the process and rationale used to select these areas and describe any experience the Applicant and/or any partner(s) have had working in this area;
- 3.3 Program hypothesis and theory of change: Include a program hypothesis that clearly explains the theory or theories of change that underlie the approach of the proposed program. The program hypothesis should describe the link between the proposed activities and their intended impact on the problem, opportunity or challenge identified in the context analysis.
- 3.4 Program goal(s) and objectives: List the goal(s) of the proposed program. Include clear, measurable program objectives that, if achieved, will contribute to achieving the stated goal. Include an explanation of why the stated objectives represent the most appropriate response to the problem, opportunity or challenge presented in the context analysis. Describe how the proposed program will contribute to USAID Mission objectives and sector priorities. Where appropriate, include linkages to the USAID priorities and initiatives listed in Section C of this RFA.
- 3.5 Methods: Describe the methods/activities the program will utilize to test the program hypothesis and achieve the stated objectives. Include a brief description of the human, financial, technical and material resources that will be applied to achieve the objectives including the roles and responsibilities of the applicant and any partners. If partnerships are proposed, discuss how these will be managed . Discuss alternative methods considered and reasons that the selected approach was chosen over alternative approaches.
- 3.6 Outcomes/Results: State the anticipated changes that should result from the proposed methods/activities and how they will contribute to expected program outcomes. Include a description of the numbers and types of individuals expected to benefit from the program.
- 3.7 Sustainability: Describe strategies that will be employed to sustain the activities beyond USAID funding for these activities as well as the potential for scaling up to achieve broad-based impact where possible and appropriate.
- 3.8 Risk Analysis: Describe risks associated with the proposed methods that are likely to affect program outcomes. Include factors that are both within and outside of Applicant's control. List strategies the Applicant will utilize to reduce risk and ensure proposed results are achieved;

4. Innovation (1 page)

Describe any innovative aspects of the proposed program including:

- 4.1 Approach(es) to the development problem, challenge or opportunity not previously utilized by the Applicant and/or not previously utilized in the proposed region or country;
- 4.2 Approaches to the development problem, challenge or opportunity which are innovative in the proposed technical sector;
- 4.3 Include anticipated risks and expected benefits of any innovation(s) presented.

5. Program Management Approach and Implementation Plans (3 pages)

The project management approach should include the following components:

- 5.1 Applicant's plan for management of the program;

- 5.2 Respective roles, responsibilities and accountability of the applicant and its partners, including roles and responsibilities of key staff;
- 5.3 Description of the management systems in place.
The implementation plan should outline activities, inputs, outputs, outcomes, indicators and a breakdown showing the responsibilities of any partners. Provide the following two implementation plans:
 - 5.3.1 Proposed first-year implementation plan should be presented in matrix format which includes proposed activities and when they will take place for the time frame indicated. Identify partners for activities where appropriate. First-year work plan, inputs, outputs, and outcomes should be realistic and achievable within proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of program activities.
 - 5.3.2 Proposed life of project implementation plan that outlines a timeline for phasing of interventions. This plan should contain inputs and outputs and present outcomes per year that are realistic and achievable within the proposed budget and timeframe and reflect a grasp of necessary steps to ensure rapid, effective execution of program activities. Provide indicators that are clear and measurable.

6. Planning Matrix (2 pages)

Using a tabular format, summarize main activities, objectives, indicators and measurement methods. Link information coherently to succinctly explain how a particular set of activities will achieve a specific objective and how these results will be measured. Each table should contain the following:

- 6.1 A statement of the proposed program goal and the link to Agency and/or Mission sector objectives, as appropriate;
- 6.2 Main results-oriented objectives that the program will accomplish;
- 6.3 Primary activities intended to achieve the each stated objective result(s);
- 6.4 Examples of key indicators that will measure the results of each objective; and

7. Monitoring and Evaluation plan: (2 pages)

Provide a description of Applicant’s approach to monitoring and evaluation which the program will utilize and why this approach is appropriate. Include the following components in this plan:

- 7.1 A list of the types of baseline data that must be collected to demonstrate impact of the program;
- 7.2 The process by which the indicators will be developed and how monitoring processes and results will be used to inform project management decisions;
- 7.3 The ways in which impact will be evaluated at the end of the activity including how impact will be attributed to the activity;
- 7.4 The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data);
- 7.5 A plan for collecting and responding to the concerns of program beneficiaries/constituents and other stakeholders.

8. Organizational Assessment and Institutional Capacity (2 pages)

A core component of the DGP is grantee capacity development. Successful applicants may receive funding to pursue organizational and technical capacity development objectives to strengthen their organizations over the life of their DGP-funded projects. This requirement offers applicants a unique opportunity to explore how they will develop their own organizational systems, deepen their technical expertise, and enhance their capabilities to better meet the needs of those they serve. In some cases missions may choose to withhold and centrally manage these capacity development funds. In other

cases, USAID missions may choose to sign an award and then begin work with the grantee to develop a capacity development plan. In other cases, USAID missions may decide that the grantee does not require capacity development funds. In all cases, applicants are required to submit a brief plan for how they will develop their own capacity.

While it is not required, USAID recommends that applicants conduct an organizational assessment to aid in the development of this plan. Please keep in mind that while a thorough organizational assessment requires time and energy, if it is done in an open, participatory fashion that allows for honest input by individuals across the organization as well as from key stakeholders outside the organization, the resulting capacity development plan will be more accurate and have greater staff, board, management and community buy-in than if the assessment is completed by a single individual or a group that is not representative of the organization.

If an Applicant is selected for an award, organizational assessments, capacity development objectives and plans may be reviewed again by the Mission and the selected capacity development provider(s) in order to make any necessary revisions, and to identify other areas that may need development.

Appendix D lists several organizational assessment tools and provides additional information and clarification on this requirement. While it is expected that this plan may exceed two pages, for the full application, please include the following components in two pages or less:

- 8.1 A list of clear capacity development objectives, why they were chosen and how they will be pursued during the project period. These objectives can include activities to improve both the organizational and technical capacity of the Applicant;
- 8.2 A description of how Applicant selected these capacity development objectives. Include a description of the process and the positions of those involved (i.e. executive director, board member, project coordinator, financial analyst, constituent etc.), the tool, framework or process used, the time required, etc.;
- 8.3 A list of proposed or potential service providers¹⁴ from the local or regional capacity development market who can provide the services the Applicant requires to achieve its capacity development objectives. Costs estimates and any available price quotes from proposed service providers should be included in the cost application following this section.

9. Gender Integration (2 pages)

The proposed approach and methodology must address gender issues in a substantive and integrated manner, describing specific and effective approaches for addressing gender constraints and capitalizing on opportunities. The application should consider the proposed activities' impact on men and women. Applicants should provide a rationale if gender is not an issue for the proposed program. For more guidance on gender analysis and integration, please see the following references:

- ADS 201.3.9.3 "Gender Considerations" (<http://www.usaid.gov/policy/ads/200/201.pdf>)
- ADS 201.3.11.6 "Project/Activity Planning Step 2: Conduct Project-level Analysis as Needed" (<http://www.usaid.gov/policy/ads/200/201.pdf>)

Applicants for the Water Sector in particular are strongly encouraged to consider the guidance contained in UN Security Council Resolution 1325 on Women, Peace and Security. For additional information, please see

¹⁴ Local capacity development service providers can include for example individual consultants with relevant expertise, as well a range of organizations including but not limited to CSOs, NGOs, private firms, universities, and government institutes.

http://www.peacewomen.org/security_council_monitor/ and
http://www.usaid.gov/our_work/cross-cutting_programs/conflict/in_the_spotlight.html

10. Institutional Capabilities and Past Performance: (2 pages)

Applicants shall be evaluated based on performance of relevant current programs or those completed during the past three years only. For this section, include:

- 10.1 A description of the applicant's institutional capacity to manage (technically, administratively and financially) the proposed program in a technically and culturally appropriate fashion;
- 10.2 A list of key staff and their qualifications with respect to the project goals and objectives as well as language capabilities where appropriate (qualifications can be included as attachments. If attached, include reference here to location of this attachment)
- 10.3 Concise description of Applicant's, as well as prospective or existing partners' previous work and experience relative to the activities and region or country being proposed during the past three years; For each award, include a brief statement about:
 - 10.3.1 The relevance of the Applicant's past development work to the program being proposed;
 - 10.3.2 Results achieved; Duration, size, and value;
 - 10.3.3 List of references and information such as location, award numbers if available, brief description of work performed and contact information with current email addresses and telephone numbers;
 - 10.3.4 In the attachments section, include a copy of a final evaluation if one was done within the last three years.

11. Cost Share Component (2 pages) – Required but not scored

It is required that a minimum of 10% for LNGOs or 15% for U.S. PVOs of the proposed budget will be generated from non-USG funding or in-kind support for the proposed program. The match may be a combination of cash and in-kind. The Applicant must demonstrate ability to raise the match proposed. Actual and/or expected sources and amounts of the cost-share amount from all sources (other donors, community members, businesses, etc.) must be stipulated. In-kind contributions based on 22 CFR may be applied above and beyond the 15% match.

Funds received by the Applicant directly from the U.S. Government or USAID intermediaries or foreign governments are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the organization's accounts and in-kind contributions of goods and services and other contributions not recorded in the organization's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-U.S. federal contributions are set forth in 22 CFR 226. (Copies of 22 CFR 226 may be obtained through the Government Printing Office, Washington, D.C. 20401 or from Internet address:
<http://www.usaid.gov/policy/ads/cfr.html#22>.)

12. Environmental Procedures (1 page)

Respondents to this RFA should include as part of their full technical application a clear statement of their approach, experience, and/or expertise for achieving environmental compliance, protection and management over life of the proposed program.

13. Attachments

Complete and attach the required certifications in Appendix F.

B. COST APPLICATION INSTRUCTIONS (Required for full applications)

The cost application must detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts as detailed below. These amounts are subject to revision depending on availability of funds. Successful applicants may be asked to scale back portions of their programs to accommodate funding constraints.

The U.S. Government will require the following detailed information from the applicant organization:

1. The cost application must be completely separate from the Applicant's technical application, and submitted by using SF-424 and SF-424A "Application for Federal Assistance." These forms can be downloaded online at http://www.grants.gov/agencies/aapproved_standard_forms.jsp
2. The Applicant must provide by email as described above in Section 5, Part 1.A, an electronic copy of a budget in Microsoft (MS) Excel, with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in MS Word).
3. The cost application must be for the period of the proposed program (up to 5 years) and use the budget format shown in the SF-424A. The form is downloadable online at http://www.grants.gov/agencies/aapproved_standard_forms.jsp. If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement or grant, it must clearly identify them.
4. If the Applicant is a consortium, the cost application must include documents that reflect the legal relationship among the parties. The document(s) should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement or grant, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement or grant, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.
5. Applicants must complete the required Representations and Certifications under Appendix F with the cost application.
6. The Applicant's proposed budget should provide estimates of the program based upon the total estimated amount for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
7. The cost application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.

8. Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
 - a. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 - b. The breakdown of all costs according to each partner organization involved in the program;
 - c. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 - d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement or grant;
 - e. Potential contributions of non-USG or private commercial donors to the cooperative agreement or grant;
 - f. Procurement plan for commodities if needed (although not encouraged); and
 - g. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement or grant.

9. Applicants must provide the following cost element details:
 - a. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
 - b. Fringe Benefits – These benefits are non-wage compensation that an organization can provide to its employees in addition to their salaries. If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
 - c. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed program description, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned. Applicants should include in their budgets travel for up to three people to a five-day and a three-day workshop to be held in their countries' capital.
 - d. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
 - e. Indirect Costs – These are costs that are incurred by an organization overall but that cannot be attributed directly to a specific project it is working on. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).
 - f. Alliance Opportunities: Alliance Opportunities: USAID encourages the creation of alliances where appropriate. An "alliance," in this sense, is a formal agreement between two or more parties created to jointly define and address a development problem. Alliance partners combine resources, risks and rewards in pursuit of common objectives. Alliance partners make financial and/or in-kind contributions to increase the impact and sustainability of development efforts. Their support may take many forms. Mechanisms for collaboration include parallel financing (with common

objectives, clear understanding of roles and separate funding tracks) or pooled resources (with agreed upon and legally binding governance structures and common funding tracks).

A Global Development Alliance (GDA) is a public-private partnership model that allows USAID to leverage resources from private sector partners to improve social and economic conditions in developing countries. The GDA approach enables alliance partners—corporations, foundations, and NGOs—to leverage their assets to address jointly defined development challenges, thereby achieving together a solution that would not be possible for any single partner alone. A GDA requires:

- 1:1 leverage (cash and in-kind) of USAID resources;
- Common goal defined for all partners;
- Jointly-defined solution to a social or economic development problem;
- Non-traditional partners (companies, foundations, etc.);
- Shared resources, risks and results, with a preference for additionality of impact and;
- Innovative, sustainable approaches to development.

Additional information about Public-Private Partnerships (PPP) may be obtained from the GDA web page at http://www.usaid.gov/our_work/global_partnerships/gda/.

10. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting and personnel policy manuals. If a copy has already been submitted to the U.S. Government, the applicant must advise which Federal Office has a copy, and provide a point of contact with contact information (e.g., phone number). Alternatively, applicants may file a self-certificate of compliance with USAID standards. This certificate template is available from the USAID point of contact listed in this RFA upon request.
11. Applicants must submit evidence of responsibility in order for the Agreement Officer to make a determination of responsibility. The information submitted must be provided in the third-person and substantiate that the Applicant:
 - Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 - Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant - nongovernmental and governmental;
 - Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 - Has a satisfactory record of integrity and business ethics; and
 - Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

The Applicant is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub awards issued under this Agreement that results from this RFA.

C. FULL APPLICATION REVIEW CRITERIA

The application must address all of the technical and cost items in Parts A and B above and will be evaluated and scored on a 100-point scale based on the evaluation criteria presented below.

Applicants should note that evaluation criteria: (a) identify the significant matters which applicants should address in their applications, and (b) set the standard against which all applications will be evaluated. **Applicants are encouraged to organize the narrative sections of their technical applications in the same order as the evaluation criteria and include the major components below. However, applicants are not limited to the following order for purposes of logically sequencing their proposed programs.** The submitted paper copy application (if requested) will be used for the official page count. Pages in excess of stated limitation will not be considered.

The technical applications shall be evaluated in accordance with the Technical Evaluation Criteria set forth below relative to the information provided to applicants in Attachment 01 of the RFA. An award will be made to a responsible applicant whose application offers the greatest value, potential for impact, and innovation among other factors.

Evaluation Criteria (Total: 100 points)

1. Technical Approach (35 points)

- 1.1 Degree to which situation analysis demonstrates Applicant understands development problem, opportunity, or challenge in the proposed sector(s);
- 1.2 Demonstrated understanding of the country or region of proposed activities, including clear rationale for selection of proposed program location(s);
- 1.3 Degree to which the development hypothesis and theory of change represent a logical, testable approach to addressing the described development problem, opportunity or challenge;
- 1.4 Degree to which stated goal(s) and objectives represent a logical and feasible approach to addressing the needs identified in the context analysis. Degree to which objectives are measurable, clearly stated statements of significant outcomes (as contrasted with vague, subjectively measurable and trivial outcomes). Satisfactory discussion of chosen goal(s) and objectives among possible approaches to address development problem, challenge or opportunity; Clear demonstration of the relevance of program objectives to USAID Mission sector priorities and, where appropriate, linkage to Agency priorities;
- 1.5 Degree to which described methods/activities will enable the Applicant to test the development hypothesis and achieve the stated objectives. Degree to which appropriate resources are called for to implement the described methods. Adequate plan for engaging any proposed, eligible partners. Discussion of why the methods selected are preferable to any alternative methods considered;
- 1.6 Likelihood that anticipated outcomes/results are likely to occur given the proposed activities. Inclusion of description of the program's anticipated benefits.
- 1.7 Degree to which the proposed program includes activities and impacts that can be sustained after USAID funds are expended. If appropriate, the degree to which activities have the potential to be scaled up to achieve broad-based impact.
- 1.8 Degree to which application includes adequate consideration of the risks associated with the proposed approach (applies to risks that are both within and outside of the Applicant's control). Degree to which strategies proposed to reduce risk will be effective;
- 1.9 The provision of references to support assertions of fact made in the application;

2. Innovation (10 points)

- 2.1 Degree to which application includes innovative approach for the Applicant, region/country, and/or technical sector;
- 2.2 Degree to which Applicant has considered risks and benefits of approach(es).

3. Project Management Approach and Implementation Plans (20 points)

- 3.1 Presence of a logical, sufficient and clear plan for managing the proposed program;
- 3.2 Inclusion of a clear, complete account for roles and responsibilities of all partners and key staff;
- 3.3 Degree to which management systems are in place to accomplish proposed objectives taking into consideration that Applicants may not have all necessary systems in place and that the development of these systems may be included in the Applicant's capacity development plan (Section 8);\
- 3.4 Degree to which proposed first year implementation plan includes the required components and outlines an achievable plan given the program objectives and budget and timeframe;
- 3.5 Degree to which life of project implementation plan includes required components and outlines an achievable plan given the program objectives, budget and timeframe.

4. Monitoring and Evaluation Plan (10 points)

- 4.1 Degree to which Applicant's monitoring and evaluation plan clearly demonstrates how progress and impact will be tracked, measured and reported with appropriate milestones and expected accomplishments, including measurable output and performance indicators;
- 4.2 Degree to which plan includes data collection and management plan including collection of relevant baseline data, information on how indicators will be development and how plan will be used for adaptive management;
- 4.3 Inclusion of clear plan to maintain open dialogue with beneficiaries/constituents and other stakeholders, to respond to issues that arise during implementation.

5. Organizational Assessment and Institutional Capacity (7 points)

- 5.1 Inclusion of a clear, logical institutional capacity development plan that identifies specific organizational development needs, presents and prioritizes objectives that address those needs and presents key actions to meet each objective. This plan should reflect a commitment to organizational improvement with reasonable targets for the period of performance (life of project);
- 5.2 Extent to which Applicant demonstrates the rigor of the process by which the capacity development plan was created, including titles of staff, management and board persons and other stakeholders (if any) involved. Include discussion on the tool/framework and methods utilized to assess the Applicant's capacity and create capacity development objectives; and
- 5.3 Inclusion of a list of possible local and/or regional capacity development service providers that can help the Applicant's meet stated capacity development objectives.

Note: USAID Missions retain the right to centrally manage funds for capacity development plan if deemed appropriate and/or necessary. If locating suitable local or regional service provider(s) proves difficult, Missions may hire support staff or centrally procure needed support for grantees. Applicant's which submit well-organized, thoughtful capacity development plans including the components requested above may increase the likelihood that the relevant Mission will approve their plan and allow them to manage their own capacity development funds.

6. Gender Integration (10 points)

- 6.1 Extent to which Applicant describes how gender considerations are addressed in a substantive and integrated manner, including specific and effective approaches for addressing gender constraints and capitalizing on opportunities;
- 6.2 Degree to which Applicant considers the impact of the proposed program on both men and women;
- 6.3 If applicable, a discussion of why gender is not a consideration of the proposed program;

7. Institutional Capabilities/Past Performance (8 points)

- 7.1 Demonstrated institutional capacity to manage (technically, administratively and financially) the proposed program in the proposed region in a technically and culturally appropriate fashion;
- 7.2 Demonstrated appropriate experience of key staff relative to project goals and objectives as well as language capabilities where appropriate;
- 7.3 Extent to which included references of past performance indicate Applicant's ability to successfully compete the proposed program;
- 7.4 Extent to which attached evaluations (if any) indicate Applicant can successfully complete the proposed program.

8. Cost Application

The Applicant's budget will be reviewed for cost reasonableness, allowability and allocability. The budget will also be reviewed for accuracy and congruity with the activities proposed in the technical application.

SECTION 6: AWARD AND AWARD INFORMATION

Note: This section is intended to provide guidance for Applicants who are requested to submit full applications (step 2) and are selected for funding.

An award will be made only by the USAID Mission/Regional Mission Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

A. Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make any award.

Relevant Policy and Regulatory References

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations, and Standard Provisions for U.S. Nongovernmental Organizations.

These policies and federal regulations are available at the following web sites:

- ADS-303: <http://www.usaid.gov/policy/ads/300/303.pdf>
- 22 CFR 226: http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf
- 22 CFR 230 (formerly OMB Circular A-122)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a122.pdf
- OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/index.html>
- 48 CFR 31.2: <http://www.arnet.gov/far/>
- Standard Provisions for U.S. Nongovernmental Organizations:
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>

These documents are available for further information:

SF-424 Cost application/Cost Application Documents (**FOR FULL APPLICATION ONLY**)
http://www.grants.gov/agencies/approved_standard_forms.jsp.

B. Environmental Protection and Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in the Code of Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>) which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. In addition, the recipient must comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded by USAID will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE, Initial Environmental Examination (IEE) or Environmental Assessment, duly signed by the governing Bureau Environmental Officer (BEO).

(Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

The ODP Bureau Environmental Officer (BEO) or any Mission Environmental Officer can be contacted for further information. For a listing of USAID Environmental Officers and background information on this requirement please refer to the [USAID Environment Website](http://www.usaid.gov/our_work/environment/compliance/index.html) (http://www.usaid.gov/our_work/environment/compliance/index.html).

All projects funded by this RFA must conform to USAID environmental regulations, 22 Code of Federal Regulations (CFR) 216, requiring that any environmental impacts that may arise from proposed activities (e.g., water and sanitation) are properly mitigated or reduced. Through requiring development of an "Initial Environmental Examination" or IEE, 22 CFR 216 ensures that any unintended environmental impacts of USAID-funded activities are identified and mitigation measures proposed at the design stage. Subsequently, over the life of the program, these environmental mitigation measures are expected to be a standard component of program management. The Applicant must also comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern

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

Amendments (as Needed): If the awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the environmental documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the environmental documentation is submitted and written approval is received from USAID.

C. Implementation of E.O. 13224 – Executive Order on Terrorist Financing (March 2002)

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

D. USAID Disability Policy – Assistance (December 2004)

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

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

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

F. STANDARD PROVISION: EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (December 2009)

- a. All the requirements of 22 CFR Part 205, Participation By Religious Organizations In USAID Programs, are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in 22 CFR Part 226. The requirements of 22 CFR Part 205 apply to both religious and secular organizations.
- b. If the recipient makes subawards under this agreement, faith-based organizations must be eligible to participate on the same basis as other organizations, and must not be discriminated for or against on the basis of their religious character or affiliation.
- c. The recipient must not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, such as worship, religious instruction, and proselytization, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary. These restrictions do not apply to programs where USAID funds are provided to chaplains to work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
- d. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition,

- construction, or rehabilitation that are attributable to eligible activities in accordance with applicable cost accounting principles. Sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship are ineligible for acquisition, construction, rehabilitation, or improvements using USAID funds.
- e. The recipient may not discriminate against any beneficiary or potential beneficiary under this award on the basis of religion or religious belief. Accordingly, in providing services supported in whole or in part by this agreement or in its outreach activities related to such services, the recipient may not discriminate against current or prospective program beneficiaries on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice.
 - f. When the recipient is a religious organization, the recipient
 - (1) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities, such as worship, religious instruction, or proselytization.
 - (2) Retains its authority over its internal governance and may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
 - (3) Retains its exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1.
 - (4) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols.
 - g. The Secretary of State may waive the requirements of this provision in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

[END OF PROVISION]

**An asterisk indicates that the adjacent information is new or substantively revised.*

APPENDICES

- A. ADDITIONAL INFORMATION: MICROENTERPRISE**
- B. ADDITIONAL INFORMATION: WATER**
- C. ADDITIONAL INFORMATION: CLIMATE CHANGE ADAPTATION**
- D. ORGANIZATIONAL ASSESSMENT AND INSTITUTIONAL CAPACITY DEVELOPMENT**
- E. BRANDING AND MARKING**
- F. CERTIFICATIONS (Required for full application)**

The USAID and State Department's Standardized "F" Framework includes a structure of United States international development objectives broken down hierarchically into program areas, program elements, and sub-elements. USAID missions receive funding for the three DGP sectors according to the sub-elements listed in the box below. Appendices A to C elaborate on these program sub-elements, and also list the associated indicators that can be included in the Applicant's monitoring and evaluation plan. For additional information about USAID's Development Framework, please refer to: <http://www.state.gov/f/c24132.htm>.

Standardized Program Sub-Elements according to the U.S. State Department F Framework

Microenterprise

- 4.7.1 Inclusive Financial Markets
- 4.7.2 Policy Environment for Micro and Small Enterprises
- 4.7.3 Microenterprise Productivity

Water

- 3.1.6 Maternal and Child Health
- 3.1.6.8 Household Level Water, Sanitation, Hygiene and Environment
- 3.1.8 Water Supply and Sanitation
- 4.5.2 Agricultural productivity
- 4.8.1 Natural Resources Management and Biodiversity

Climate Change Adaptation

- 4.8.2 Clean Productive Environment

APPENDIX A: ADDITIONAL INFORMATION – MICROENTERPRISE

Definitions

Microfinance and microenterprise development is a crosscutting issue. A microenterprise is a very small enterprise owned and operated by poor people, usually in the informal sector. For USAID program purposes, the term is restricted to enterprises with 10 or fewer workers, including the microentrepreneur and any unpaid family workers. Throughout the developing world, millions of poor families derive an important share of their income from microenterprise activities.

To help these poor families gain access to economic opportunity, USAID supports three types of activities: (1) microfinance, to improve access to financial services tailored to the needs of poor households, including credit, deposit services, insurance, and remittance and payment services; (2) efforts to reduce regulatory, policy and administrative barriers that limit the opportunities of micro- and small firms; and (3) enterprise development, to improve productivity and market potential for microenterprises.

Activities exclusively devoted to microfinance and microenterprise development are reported under three Program Elements under Economic Growth Program Area 4.7 (Economic Opportunity), each linked to one of the three types of activities described above: 4.7.1, Inclusive Financial Markets; 4.7.2, Policy Environment for Micro and Small Enterprises; and 4.7.3, Strengthen Microenterprise Productivity. However, activities in any foreign assistance objective can also contribute to microfinance or microenterprise development, to the extent that they promote one or more of the outcomes summarized here.

USAID's integrated approach to microfinance and microenterprise development supports inclusive financial markets, policy reform, and enterprise development, including producers, their organizations, and agriculture related microenterprises, to help households build assets, grow their businesses, improve household security, and participate in the economy on better terms, thus promoting economic growth with poverty reduction.

Elements and Indicators

4.7 Economic Opportunity

4.7.1 Inclusive Financial Markets

- Number of clients at USG-assisted microfinance institutions
- Number of microfinance institutions supported by USG financial or technical assistance
- Percent of portfolio outstanding of USG-assisted microfinance institutions held as poverty loans
- Percent of USG-assisted microfinance institutions that have reached financial sustainability
- Percent of USG-assisted microfinance institutions that have reached operational sustainability
- Total savings deposits held by USG-assisted microfinance institutions
- Number and types of financial products and services available to, and utilized by, MFI clients, including Sharia-compliant financial products and services, as appropriate.

4.7.2 Policy Environment for Micro and Small Enterprises

- Number of proposed improvements in laws and regulations affecting the operations of micro enterprises drafted with USG assistance

4.7.3 Microenterprise Productivity

- Number of microenterprises participating in USG assisted value chains
- Number of microenterprises receiving business development services from USG assisted sources
- Total number of microenterprises receiving finance from participating firms in a USG assisted value chain
- Amount of private financing mobilized with a DCA guarantee

Links

http://www.microlinks.org/ev_en.php

<http://treas.gov/offices/enforcement/programs>

http://www1.worldbank.org/finance/html/amlcft/docs/aml_implications_complete.pdf

<http://www.qfinance.com/investment-management-checklists/an-overview-of-shariah-compliant-funds>

<http://www.accountancy.com.pk/articles.asp?id=174>

APPENDIX B: ADDITIONAL INFORMATION – WATER

Water Related Activities in USAID Water Issue

The Water Key issue describes activities that are included in the Senator Paul Simon Water for the Poor Act of 2005. All activities included in the 4 water related Key Sub-Issues are included in reporting on the Senator Paul Simon Water for the Poor Act of 2005.

Definitions:

Drinking Water Supply and Sanitation

Rural and urban water supply; water wells/water points; water harvesting; water transmission; latrines and toilets; point-of-use (POU) and other drinking water treatment; water-related hygiene promotion; water infrastructure finance; water supply and wastewater utility governance reform/corporatization; water sector reform; desalination; and wastewater management [collection (sewers), large wastewater plants and small-scale treatment (including septic tanks, drain fields, and eco-san systems)].

Watershed/Water Resources Management

Watershed, river basin and trans-boundary river management; water law and policy; surface freshwater and groundwater drinking water source protection (quality and quantity), urban storm water management; water quality management, including point and non-point source pollution prevention and control; freshwater and coastal ecosystem management; water-related tourism; wastewater reuse; groundwater/aquifer protection and management; aquatic biodiversity/coral reef protection and management; lake and estuary management; river flow modeling; reservoir management; water demand management; and water use allocation.

Water Productivity

Agricultural irrigation and irrigation efficiency improvement; agricultural soil/water management; fisheries management; aquaculture; and hydropower (including mini-hydro).

Disaster Risk Reduction

Water-related disaster preparedness using hydro-meteorological monitoring, modeling, and forecasting; drought/flood/floodplain management; and disaster risk/vulnerability assessment, response and preparedness.

Elements and Indicators:

Investing in People, Health, Clean Water, and Sanitation Services

3.1.8 Water Supply and Sanitation

- Number of people in target areas with access to improved drinking water supply as a result of USG assistance.
- Number of people in target areas with access to improved sanitation facilities as a result of USG assistance
- Percent of operations and maintenance costs for water supply and sanitation services covered through customer charges in target areas
- Amount of private financing mobilized with a Development Credit Authority (DCA) guarantee
- Number of hours per day that households in areas assisted by USG programs have potable water services

3.1.6.8 Household Level Water, Sanitation, Hygiene and Environment

- Liters of drinking water disinfected with USG-supported point-of-use (POU) treatment products

3.1.6 Maternal and Child Health

- Number of cases of child diarrhea treated in USGG-assisted programs

Watershed/Water Resources Management

4.8.1 Natural Resources Management and Biodiversity

- Number of hectares of watersheds showing improved biophysical conditions as a result of USG assistance
- Number of watershed hectares under improved management as a result of USG assistance
- Number of people receiving USG supported training watershed management
- Number of people with increased economic benefits derived from sustainable watershed management as a result of USG assistance
- Number of policies, laws, agreements or regulations promoting sustainable water resources management that are implemented as a result of USG assistance

Water Productivity

4.5.2 Agricultural productivity

- Number of farmers, processors and others who have adopted new technologies or management practices as a result of USG assistance
- Number of vulnerable households benefiting from USG assistance
- Number of additional hectares under improved technologies or management practices as a result of USG assistance
- Number of producers organizations, water user associations and community-based organizations (CBOs) receiving USG assistance

Links

http://www.usaid.gov/our_work/global_health/eh/index.html

http://www.usaid.gov/our_work/global_health/eh/techareas/improvement.html

http://www.usaid.gov/our_work/global_health/eh/techareas/targets.html

http://www.usaid.gov/our_work/global_health/eh/techareas/pou.html

http://www.usaid.gov/our_work/global_health/eh/techareas/sanitation.html

http://www.usaid.gov/our_work/global_health/eh/techareas/reconstruction.html

APPENDIX C: ADDITIONAL INFORMATION – CLIMATE CHANGE ADAPTATION

The table below provides a list of indicators which applicants may incorporate into monitoring and evaluation plans in the climate change adaptation sector. For additional information about this sector, please see the following links:

http://www.usaid.gov/our_work/environment/climate/policies_prog/vulnerability.html

http://www.usaid.gov/our_work/environment/climate/index.html

Climate Change Sustainable Landscape and Adaptation Indicators in Program Element 4.8.2: Global Climate Change

| # | Category | Indicator | Disaggregated |
|----|--|---|---|
| 1 | Emissions | Quantity of greenhouse gas emissions, measured in metric tons of CO ₂ e, reduced or sequestered as a result of USG assistance | No |
| 2 | Tools, Methods | Number of climate mitigation and/or adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance | REDD+, Clean energy, Adaptation, Crosscutting |
| 3 | Law, Policy Agreements, Regulations | Number of laws, policies, agreements, or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance | REDD+, Clean Energy, LEDS, Adaptation, Crosscutting |
| 4 | Training | Number of people receiving training in global climate change as a result of USG assistance | Gender |
| 5 | Finance | Funding leveraged from public and private sources for climate change as a result of USG assistance | REDD+, Clean Energy, Adaptation, Crosscutting |
| 6 | Information | Number of climate vulnerability assessments conducted as a result of USG assistance | No |
| 7 | Information | Number of stakeholders using climate information in their decision making as a result of USG assistance | No |
| 8 | Plans | Number of climate-resilient or low emissions development plans developed as a result of USG assistance | LEDS, Adaptation, Clean energy, Integrated |
| 9 | Institutions | Number of institutions with improved capacity to address climate change issues as a result of USG assistance | Adaptation, REDD+, Clean energy, Cross-cutting |
| 10 | Institutions | Number of institutions established to address climate change issues as a result of USG assistance | Adaptation, REDD+, Clean energy, Cross-cutting |
| 11 | Risk reducing practices or actions | Number of stakeholders implementing risk-reducing practices/actions to improve resilience to climate change as a result of USG assistance | None |
| 12 | Adaptive capacity | Number of people with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance | Gender |
| 13 | Reduced carbon intensity | Carbon intensity of energy supply | None |
| 14 | Reduced carbon | Quantity of operational renewable electric | solar, hydro, wind, other |

| | | | |
|----|---|--|---------------------------|
| | intensity | generation capacity as a result of USG assistance | |
| 15 | Reduced carbon intensity | Amount of energy displaced with lower carbon fuels as a result of USG assistance | None |
| 16 | Reduced end-use energy intensity | Energy saved due to energy efficiency/conservation projects as a result of USG assistance | None |
| 17 | Reduced end-use energy intensity | Number of households implementing energy efficiency measures as a result of USG assistance | None |
| 18 | Reduced end-use energy intensity | Number of people who now have access to modern energy services as a result of renewable energy technologies through USG assistance | solar, hydro, wind, other |
| 19 | Mitigation | Number of clean energy tools, technologies and methodologies developed, tested and/or adopted | No |
| 20 | Reduced end-use energy intensity | Anticipated energy savings over years as a result of USG assistance | None |
| 21 | Reduced carbon intensity | Anticipated GHG reductions over years, as a result of USG assistance (measured in metric tons of CO2 equivalent) | None |

APPENDIX D: ORGANIZATIONAL ASSESSMENT AND INSTITUTIONAL CAPACITY DEVELOPMENT

1. Background

Through the DGP, USAID seeks to expand the base of local NGO and U.S. PVO partners capable of undertaking projects and programs and achieving development impact in the countries in which these organizations operate. USAID does this by making direct grants to these organizations and by providing them with capacity development services to strengthen their organizations. *Capacity development* is considered to be undertaking the actions necessary for an organization to consistently identify constituent needs, plan appropriate responses to those needs, raise and efficiently manage the resources required to meet those needs, and to systematically identify achievements and remedy shortcomings in meeting evolving needs in a changing environment.

Illustrative capacity development activities may include but are certainly not limited to:

1. Training to improve staff skills in human resources management, financial management, program management, monitoring and evaluation, fundraising, strategic communications, board development, or other core operating skills;
 2. Hiring professional consultants or capacity development organizations to work closely with an organization to train staff on any of the areas referenced in point 1 above;
 3. Exposure visits to well-established organizations or projects to learn how to scale up or otherwise improve activities.
 4. Holding workshops with staff, management and beneficiaries/constituents to establish participatory feedback mechanisms to keep organizations accountable to those they serve.
 5. In those instances where it is essential to achievement of development objectives, strengthening a partner's ability to effectively engage in policy advocacy and to perform government monitoring and oversight activities in the development sectors of concern to them.
2. Capacity Development and the DGP
The illustrative activities listed above represent a small sample of the types of activities that an organization might consider as part of a capacity building plan. For greater detail on the types of capacity development areas an organization might include in a capacity development plan, review the areas described below in [Jerry VanSant's paper](#) produced for USAID as well as the Impact Alliance by Bloom et al. article listed below and linked [here](#).
3. Guidance for concept paper preparation
For guidance on capacity development in the concept paper preparation, please see both the instructions and evaluation criteria in Section Four.
4. Guidance for full application preparation
For guidance on capacity development in the full application preparation, please see both the instructions and evaluation criteria in Section Five.
5. Additional information and resources regarding organizational capacity assessments
There are a number of well-recognized organizational capacity assessment tools that are widely available on the internet. Below are additional resources which contain guidance on which kind of assessment to choose, as well as the self-assessment tools themselves (such as USAID's Institutional Development Framework Assessment Tool or the Bruner Foundation's Modified Evaluative Thinking Assessment Tool). Even if the Applicant chooses not to conduct a rigorous self-assessment, the below resources are useful when deciding upon capacity development objectives and designing a plan.

- For more information about **how to select an organizational assessment tool**, an article entitled "Capacity Building Perspectives: Understanding Organizational Assessment" by Evan Bloom, Meg Kinghorn, and Betsy Kummer, published on the Impact Alliance website (http://www.impactalliance.org/ev_en.php?ID=7442_201&ID2=DO_TOPIC) has helpful information. While many of the links to the tools this site discussed are no longer valid, the article is helpful for deciding what kind of tool to utilize.
- For a **list of readily available organizational capacity self-assessment tools**, Reflect&Learn has compiled a number of tools, some of which may be useful for the application: <http://www.reflectlearn.org/discover/self-assessment-tools>
- One relatively straight-forward tool with automatic calculations in a single Excel file is the Bruner Foundation **Modified Evaluative Thinking Assessment Tool**: <http://reflectlearn.org/all/bruner-foundation-effectiveness-initiatives-evaluative-thinking-assessment-tool>
- For **more about local capacity developers**, there are several good articles on www.capacity.org including: <http://www.capacity.org/capacity/opencms/en/topics/local-capacity-developers/index.html>
- In his paper prepared for USAID in February, 2000 entitled "A Composite Framework for Assessing the Capacity of Development Organizations," Jerry VanSant of Duke University compiled a **helpful list of the common categories of institutional capacity**, listed below. The full text (6 pages) of VanSant's paper can be found here: http://www.g-rap.org/docs/icb/usaaid_2000_capacity_assessment.pdf

Institutional Resources

Legal structure and governance
Human resources
Management systems and practices
Financial resources

Institutional Performance

Program results
Networking and external relations
Application of technical knowledge
Constituency empowerment

Institutional Sustainability

Organizational autonomy
Leadership
Organizational learning

In this article, VanSant goes on to describe 8 commonly used institutional capacity development tools. Any of these tools would be an appropriate starting point for a DGP Applicant to do an initial self-assessment of organizational capacity.

- "ISR" (Institutional Self Reliance) is based on "Institutional Self Reliance: A Framework for Assessment" by Jerry VanSant (Center for International Development Working Paper, Research Triangle Institute, 1991).
- "[OCAT](#)" is based on "Organizational Assessment Capacity Tool: A Handbook on Participatory Monitoring and Evaluation" (PACT, 1996).

- "[DOSA](#)" is based on "New Directions in Organizational Capacity Building" (1998 DOSA Workshop Report, PACT and EDC, 1998).
- "TTAP" is based on "Training and Technical Assistance Plan" (Counterpart International, 1999).
- "ISA" is the "Institutional Strength Assessment" Methodology developed under the USAID/PVC-supported Child Survival Technical Support Project (CSTS) implemented by Macro International, Inc.
- "[IDF](#)" refers to the Institutional Development Framework developed for USAID by Management Systems International (MSI).
- "OCI" is the "Organizational Capacity Indicator" scale of the Christian Reformed World Relief Committee (CRWRC) drawn from "Partnering to Build and Measure Organizational Capacity" (CRWRC, 1997).
- "Fisher" is based on Non governments: NGOs and the Political Development of the Third world, by Julie Fisher (Kumarian Press, 1997).

APPENDIX E: BRANDING AND MARKING

A. BRANDING

Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy. ADS 320 may be found at the following website:

<http://iapp1.usaid.gov/notices/LoadAttachmentFileName.cfm?Attachment=3626>

B. MARKING UNDER ASSISTANCE INSTRUMENTS

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient’s internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient’s organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at **www.usaid.gov/branding** and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

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

(11) The recipient will provide the Agreement Officer’s Technical Representative (AOTR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) The type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these

program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

APPENDIX F: CERTIFICATIONS

The following certifications are required for full application submissions and can be found here: <http://www.usaid.gov/policy/ads/300/303sad.pdf>.

Part I – Certifications and Assurances

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

Part IV – Certification of Compliance with the Standard Provisions Entitled “Condoms” and
“Prohibition on the Promotion or Advocacy of the Legalization or Practice of
Prostitution or Sex Trafficking.”

Part V – Survey on Ensuring Equal Opportunity for Applicants

Part VI – Other Statements of Recipient