



**USAID**  
FROM THE AMERICAN PEOPLE

**ISSUANCE DATE:** May 10, 2012  
**QUESTIONS DUE DATE:** May 17, 2012  
**CLOSING DATE & TIME:** May 31, 2012;  
1600hrs[EST]

**SUBJECT: USAID/DCHA/OFDA Annual Program Statement (APS)  
APS No. APS-OFDA-FY-12-000007  
Water, Sanitation and Hygiene (WASH) Rapid Response Capacity in  
Ethiopia**

**A. AUTHORITY AND INTRODUCTION**

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

Section 491 of the FAA authorizes USG assistance for natural and human-caused disasters abroad, as well as Prevention, Mitigation, and Preparedness (PMP) activities designed to reduce the impact of recurrent natural hazards and foreign disasters.

Pursuant to Section 493 of the FAA, the USAID Administrator has been appointed as the President's Special Coordinator for International Disaster Assistance, with responsibility to promote maximum effectiveness and coordination by USG agencies and between the U.S. and other donors in responses to foreign disasters. OFDA provides technical support to the President's Special Coordinator for International Disaster Assistance and coordinates the U.S. Government response to disasters in foreign countries. OFDA is the primary operating unit within USAID for the provision of international disaster assistance, except for (1) emergency food aid, where USAID's Office of Food for Peace (DCHA/FFP) is considered the primary operating unit, and (2) cases where a determination is made that a country is in transition to democracy and USAID's Office of Transition Initiatives (DCHA/OTI) is designated as the primary operating unit. To this end, the OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and PMP activities.

OFDA responds to all types of foreign natural disasters, including earthquakes, volcanic eruptions, cyclones, floods, droughts, fires, pest infestations, and disease outbreaks. OFDA also provides assistance when lives or livelihoods are threatened by catastrophes, such as civil conflict, acts of terrorism, or industrial accidents. Disasters cause loss of life or injury, damage to private or public

infrastructure, and interruption of livelihoods. Foreign disasters comprise both acts of nature and acts of humankind that disrupt economic and social life. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- A violent act of nature, such as a flood, tsunami, hurricane, fire, earthquake, volcanic eruption, landslide, etc.;
- Secondary disasters such as floods, landslides, fires, or civil disturbances that may be triggered by rapid-onset disasters such as earthquakes or hurricanes;
- A human-caused act, such as civil strife, border conflict, displacement of large numbers of people, explosion, fire, chemical spill, or radiological release;
- A complex emergency, usually of long-term duration, that includes a combination of humanitarian, political, and military dimensions which hinder the provision of external relief;
- A slowly developing catastrophe caused by nature, humankind's neglect, or both, such as drought, famine, or epidemic; or
- A potential calamity, including ecological threats menacing lives and property and requiring prevention or monitoring measures.

OFDA not only responds to disasters but also works with disaster-prone countries to prevent, mitigate, and prepare for the effects of potential disaster scenarios. This includes assistance relating to disaster preparedness, and to risk reduction activities, to lessen adverse impacts of, and enhance the prediction of and contingency planning for, natural disasters abroad. Disaster planning and preparedness identifies the hazards present in a country or region; the vulnerability of people and infrastructure; and the resources available for relief, rehabilitation, and reconstruction. Mitigation or risk reduction measures implement activities to reduce loss of life, livelihoods, and property by reducing vulnerability. Recognizing the benefits in lives and resources saved, OFDA provides DRR to reduce risks to vulnerable people and property posed by natural and human-caused hazards. DRR activities take many forms, including, but not limited to:

- Maintenance of regional disaster supply stockpiles;
- Training in disaster management;
- Technical assistance in national disaster planning for institutions, officials, and other individuals in disaster-prone countries;
- Support for USAID Missions in developing Mission Disaster Relief Plans; and
- Risk reduction and disaster management activities, including hazard early warning systems.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek OFDA funding in support of the subject disaster response program and, if so, to assist them in developing and submitting applications<sup>1</sup>. OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of applications.

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

OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants), stipulates that these *Guidelines* do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits applications (such as through this APS) or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

As of November 1, 2005, the preferred method of distribution of USAID APS' and submission and receipt of applications is electronically via <http://www.grants.gov> ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.Gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

## **B. SPECIFIC PROGRAMMATIC GUIDANCE**

### **1. Background**

Ethiopia remains one of the poorest countries in the world, ranking 174 out of 187 in the 2011 Human Development Index. The country is perennially vulnerable to malnutrition crises and water shortages caused by drought, flooding, disease, and pest infestations. These recurrent, acute natural disasters have compounded the effects of chronic food insecurity and endemic

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<sup>1</sup> The terms "proposal" and "application" are used interchangeably and both refer to the recipient's application for funding in response to the APS requirements.

poverty in pastoralist and agricultural communities dependent on rain-fed crops. Over the past decade, vulnerable populations across the country faced other challenges, including conflict, land degradation, increasing market prices of goods and services, and limited Government of Ethiopia (GOE) capacity to meet basic health needs.

Major drought episodes in 1984/1985, 1993 to 1999, 2002/2003, 2005, and 2008/9 adversely affected both subsistence and cash crops – such as teff, maize, and fruit – and resulted in significant livestock losses among pastoralists due to severe water and pasture shortages. In 2011, after two consecutive failed rainy seasons, areas of eastern Ethiopia experienced a particularly severe drought, the worst in 60 years in some areas.

In addition to drought, Ethiopia is highly vulnerable to significant flooding that affect tens of thousands of people every year in most regions of the country. Flooding destroys houses, crops, and livelihoods further compounding the effects of food insecurity and endemic poverty. Every year, communities affected by flooding throughout Ethiopia require significant amounts of humanitarian assistance, including emergency food assistance, water, sanitation, and hygiene interventions, and emergency relief supplies. Ethiopia has also been susceptible to insecurity and conflict, particularly in the regions of Somali, Oromiya, and Gambella, which have led to significant numbers of internal displacements and increased acute humanitarian needs.

Given the multiple vulnerabilities for humanitarian emergency, there is a need for rapid response capacity to be developed so that acute humanitarian needs stemming from disasters and localized emergencies can be addressed rapidly.

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

OFDA's mandate is to save lives, alleviate human suffering, and reduce the social and economic impact of disasters worldwide. In order to achieve this goal, USAID/DCHA/OFDA's strategy for Ethiopia in FY 2012 will be to meet critical needs of populations affected by drought, flooding, ongoing complex food insecurity crisis, and conflict and increase household level resilience to climatic, economic, and health shocks resulting in humanitarian crises.

The broad objectives of this APS are to:

- Conduct rapid assessments and deploy emergency WASH response teams and materials, and provide Non-Food Items (NFIs) as appropriate, in response to assessed needs stemming from discrete emergencies or localized crises as they occur over the duration of the award.
- Provide safe drinking water and adequate sanitation to disaster-affected communities and to promote safe hygiene practices.
- Work in conjunction with, and implement through local relief partners where possible to increase the technical capacity of local partners and communities to respond effectively and efficiently to emergency WASH and/or NFI needs of target populations.

- Transition the management of new and ongoing WASH programs under the award to government, local relief organizations, and/or established community management systems.

The following general programmatic guidance is provided to potential applicants:

- USAID/OFDA's mandate is to save lives, alleviate human suffering, and reduce the social and economic impact of disasters worldwide. In order to achieve this goal, part of USAID/DCHA/OFDA's strategy for Ethiopia is to provide a mechanism for WASH rapid response.
- Under this APS, OFDA will consider applications for a rapid response mechanism primarily focused on addressing acute, assessed WASH needs in response to discrete shocks or localized emergencies that arise over the course of the award. Applications should also include the ability to assess the need for, and distribute Non-Food Items, either as part of a WASH response or a standalone activity where appropriate. Applications should include a single objective for WASH, and a separate objective for Logistics/NFI sector activities. Objectives should allow sufficient flexibility to identify and respond rapidly to meet humanitarian needs resulting from a wide variety of potential disasters.
- Proposed activities should address a demonstrated emergency need of the beneficiary population. Proposals<sup>2</sup> should clearly identify specific triggers that would constitute an emergency requiring a WASH or NFI response, as appropriate for the Ethiopia context. Program descriptions should include discussion of specific proposed activities and beneficiary selection in response to each triggering disaster or other qualifying event warranting a humanitarian response. Program descriptions for the NFI response must include a detailed list of items, and applicants are encouraged to consult the *Guidelines for Unsolicited Proposals and Reporting* regarding restricted and prohibited commodities. Also, should applicants elect to include shelter material in a proposed NFI list, the proposal must include the Shelter & Settlements sector with all relevant issues and information. For the purposes of this APS, the Shelter & Settlements section should be a minor portion of the program, if included. The need must fit within OFDA's mandate and contribute to the strategy detailed in this APS.
- Proposals may include, but are not required to include, select activities under the Protection sector, Protection Coordination and Advocacy sub-sector, in order to address protection issues related to conflict or violence, or to improve the capacity of local organizations to adopt protection-sensitive approaches in response to localized crises.
- OFDA anticipates awarding one cooperative agreement in response to this solicitation that will result in OFDA's substantial involvement through the approval of the successful applicant(s) implementation plans and subawards. Applicants should have the capacity and systems in place to manage and support multiple subawards at the same time.

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<sup>2</sup> The terms "proposal" and "application" are used interchangeably and both refer to the recipient's application for funding in response to the APS requirements.

- Applicant must be able to field assessment teams within 72 hours of identification of an emergency. OFDA expects that applicants will use subgrants, identified as the program is executed, to implement assessment and response activities in areas where applicant is not established and where appropriate to build up the capacity of local relief organizations.
- Applicants' proposals must include independent third-party evaluations to be conducted at the conclusion of each award funding cycle. The applicant should gather baseline information through the course of the award for the measurement of key indicators—quantitative and qualitative—to support independent and internal evaluations and share with OFDA.
- **Geographic area:** Interventions in any affected area of Ethiopia will be considered thus applicants must demonstrate an ability to cover a wide geographic area.
- **WASH:** The applicant will reduce the vulnerability of at-risk populations in Ethiopia by increasing access to safe water and sanitation facilities and promoting safe hygiene practices in response to demonstrated needs. This may include responding to requests for WASH support at nutrition centers supported by OFDA's implementing partner for the Nutrition rapid response program and in consultation with OFDA.
- **NFIs:** The applicant will provide non-food items as appropriate to complement a WASH intervention, or in response to population displacement, conflict, or other assessed emergency requiring an NFI response. If the proposed NFI response includes support for shelter materials, then the Shelter & Settlements sector must be included, with all relevant issues and indicators.
- **Assessment:** The applicant and any subgrantees must follow internationally accepted protocols for assessment, using methodologies that have been established by the Government of Ethiopia or appropriate coordinating bodies.
- **Overall Intervention:** The applicant will establish a permanent 'on-call' emergency response team capable of responding to water and sanitation crises and providing NFIs where needed in targeted regions. Assessments will provide accurate and timely information on needs of drought, conflict, flood, or otherwise disaster-affected communities and will be shared with the humanitarian community, thus contributing to and increasing the level of overall humanitarian aid coordination in Ethiopia.
- Proposed programs should, to the extent possible, reflect an approach that will meet critical needs in a manner which offers a smooth and logical transition with the Government of Ethiopia. However, activities under this APS are not meant to serve as a primary platform for extended recovery or development programs.
- The proposed program should address potential requirements over the next twelve months. Successful applications will feature a clear strategy which addresses the needs of the targeted beneficiary population and provides for transition of WASH interventions to government and/or local relief organizations.

- OFDA will support the following main beneficiary groups in Ethiopia:
  - Disaster affected populations,
  - Local relief organizations, and;
  - National, Regional, zonal, and woreda government entities responsible for emergency response.

### **3. Program Duration**

The program duration is for up to 12 months from the date of award. OFDA plans to fund approved activities starting in the current USG fiscal year 2012 (10/1 – 9/30), but reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

### **4. Anticipated Funding Availability**

OFDA anticipates that up to approximately US\$4,000,000 will be available to support the program(s) or activity (ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

While no ceiling has been established on the magnitude of individual applications, applicants are encouraged to keep costs reasonable in relation to the scope of their proposed activities, recognizing that the total funding under this APS will cover a range of efforts.

### **5. Anticipated Number of Awards**

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

### **6. Type of Award(s)/Substantial Involvement**

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

(a) OFDA approval of a recipient's implementation plans (limited to not more frequently than annually);

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

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

- (i) Collaborative involvement in selection of advisory committee members (OFDA may also choose to become a member), if applicable;
  - (ii) OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic) provisions of sub-awards;
  - (iii) OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);
  - (iv) OFDA monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects; and
- (d) OFDA authority to immediately halt a construction activity, if applicable

## **7. Cost-Sharing (Matching)**

NGOs are not required to include counterpart funding. However, applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities and will be rewarded under the “cost-effectiveness” evaluation criterion set forth in Section F.6 below. Cost-sharing will be subject to 22 CFR 226.23 and the standard provision entitled “Cost Sharing (Matching)” (U.S. NGOs) or the standard provision entitled “Cost-Sharing (Matching)” for non-U.S. NGOs (see Section G.2 below).

## **8. Program Income**

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to OFDA funding (and any cost-sharing that may be provided) and used for program purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of OFDA funding. Program income will be subject to 22 CFR 226.24 (U.S. NGOs) or the standard provision entitled “Program Income” for non-U.S. NGOs (see Section G.2 below).

## **9. Authorized Geographic Code**

USAID’s rules for the source of goods (other than “restricted goods,” as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228 [<http://www.gpo.gov/fdsys/pkg/FR-2012-01-10/html/2011-33240.htm>]. These rules do not apply to procurement by the recipient with cost-sharing or program income funds. The Authorized Geographic Code for goods (other than restricted goods) and services (other than transportation, engineering, and construction services, shall be in accordance with paragraph (b)(1) of the Standard



Provision entitled “USAID Eligibility Rules for Goods and Services,” [See Sections G.1 (for US NGOs) and G.2 (for non-US NGOs) below] i.e., Geographic Code 935 (any area or country but excluding prohibited sources). The Recipient shall, in all cases, give first preference to Geographic Code 937, and must document its files whenever Geographic Code 935 is used to demonstrate that:

- (a) The project requires non-restricted commodities or services (other than transportation, construction, and engineering services) of a type that are not produced in and available for purchase in Code 937; or
- (b) It is necessary to permit procurement from Geographic Code 935 to meet the emergency needs of the affected populations; or
- (c) It is more efficient and/or necessary to achieve the project’s objectives.

#### **10. Title to Property**

Title to property financed by OFDA under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled “Title To and Use of Property (Recipient Title; Over \$50,000) for non-U.S. NGOs (see Section G.2 below).

#### **11. Post-Award Reporting**

##### **(a) Programmatic Reporting**

Programmatic reporting will be in accordance with the OFDA *Guidelines for Unsolicited Proposals and Reporting* (see E below). Quarterly program performance reports are required.

##### **(b) Financial Reporting and Payment**

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant’s systems, policies, and procedures meet USG and USAID requirements (see Sections G.1 (for US NGOs) and G.2 (for non-US NGOs) below). The recipient(s) will be required to have either a U.S. bank account or a correspondent U.S. bank account into which payments under the award will be made.

### **C. APPLICANT ELIGIBILITY**

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

## 1. Central Contractor Registration and Universal Identifier (OCTOBER 2010)

(All applicants must be registered in the Central Contractor Registration (CCR) database and must include the date of their CCR expiration. For registration go to [https://www.bpn.gov/ccr/doc/CCR\\_User\\_Account\\_and\\_Registration\\_Guide.pdf](https://www.bpn.gov/ccr/doc/CCR_User_Account_and_Registration_Guide.pdf))

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

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

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

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

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

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

Effective February 13, 2012, and pursuant to a USAID impracticality determination under 2 CFR 25.110(d)(2)(ii), this provision does not apply to grants and cooperative agreements with a total value of less than \$25,000 awarded to foreign entities performing work outside the United States. In addition, subparagraph b. of this provision, requiring DUNS numbers for subawards, does not apply to subawards of less than \$25,000 made to foreign subrecipients performing work outside the United States.

## 2. Types of Eligible Organizations

The following types of organization may apply for OFDA funding under this APS:

### a. Non-Governmental Organizations (NGOs)

#### 1) Types and Nationalities of NGOs

##### (a) U.S. and Non-U.S. Non-Profit Organizations

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

**(b) U.S. and Non-U.S. For-Profit Organizations**

Qualified U.S. and non-U.S. private for-profit organizations may apply for OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

**(c) (U.S. and Non-U.S. Colleges and Universities**

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

**2) Registration as a Private Voluntary Organization (PVO)**

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

**3) “Responsibility” of Applicant**

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

The following criteria are used by USAID in determining an applicant’s “responsibility:”

- (1) Adequacy of Applicant’s Program Description, Budget, and Monitoring System.
- (2) Adequacy of the Applicant’s Financial Resources for Program Performance.
- (3) Applicant’s Ability to Meet Award Conditions:
  - (A) Compliance of Applicant’s Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
  - (B) Compliance of Applicant’s System of Reports and Records with 22 CFR 226.50-53.

(C) Compliance of Applicant’s Internal Control Systems with Applicable USG Cost Principles.

(i) Internal Controls.

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

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

(D) Compliance of Applicant’s Property Management System with 22 CFR 226.30-37.

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

(F) Compliance of Applicant’s Purchasing System/Contracting Procedures with 22 CFR 226.40-49.

(G) Applicant’s Absorptive Capacity Given Other Existing and Potential Work Commitments.

(4) Satisfactory Record of Performance by Applicant.

(5) Satisfactory Record of Business Integrity by Applicant.

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

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

After submission of applications, applicants may be required to submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility.

#### **4) New Partners**

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

#### **5) Applicants for Additional/Continued OFDA Funding of Existing Programs (“Cost Extensions”)**

Current NGO implementing partners must apply under this APS for any new or additional/continued OFDA funding programs for activities and sectors specified under this APS. Current partners submitting successful applications under this APS may be issued a follow-on award or modification to their existing award.

##### **b. Other USG Agencies**

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

##### **c. Public International Organizations (PIOs)**

PIOs may not apply for OFDA funding under this APS.

##### **d. Foreign Governmental Organizations**

Foreign governmental organizations are organizations that function as a governing body, such as foreign ministries and local governments. Foreign governmental organizations may not apply for OFDA funding under this APS. Note: USAID policy makes foreign governmental organizations ineligible as sub-recipients under awards to NGOs unless special approval is provided. Even if special approval is provided, potential applicants must consider the impact of foreign governmental organizations' sovereignty on issues such as audits, cost disallowances, disputes, etc. (see <http://www.usaid.gov/policy/ads/300/303saf.pdf>). In addition, USAID policies do not permit the payment of "salary supplements" to employees of a host government except in exceptional circumstances and with special approval. Additional guidance on salary supplements may be found at: <http://www.usaid.gov/policy/ads/200/119780.pdf>.

### **3. Code of Conduct**

As a condition for any award resulting from this APS, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such code of conduct is described in the “Notices” section (page 1) of the OFDA *Guidelines for Unsolicited Proposals and Reporting*.

## D. SELECTION PROCESS AND SCHEDULE

### 1. Selection Process

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

### 2. Schedule

This APS is open for three weeks from the date of issuance.

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

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. If an award(s) results from the first batch of reviewed applications, the award date is anticipated to be **August 1, 2012**. Late applications will only be considered at the discretion of the Agreement Officer in accordance with ADS 303.3.6.7 under subsequent batches of applications, if any.

## E. GENERAL GUIDANCE

### 1. *OFDA Guidelines for Unsolicited Proposals and Reporting*

OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants). Stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether OFDA solicits applications (such as through this APS) or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. Except as may be stated otherwise in this APS, applicants must submit their applications in compliance with the *OFDA Guidelines for Unsolicited Proposals and Reporting*.

Applications that do not adhere to those *Guidelines* will not be considered for funding. In the event of inconsistencies between this APS and those *Guidelines*, this APS shall prevail. Applicants are also encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (<http://www.usaid.gov/pubs/sourcebook/usgov/>), which may also prove helpful in preparing applications.

Under this APS, all proposed activities must primarily fall under the WASH sector and the WASH subsector(s), with a secondary capacity to distribute NFIs either in support of a WASH intervention, or in response to conflict, population displacement or other assessed crisis. The NFI activities must be described under the non-food item (NFI) sub-sector under the Logistics Support and Relief Commodities sector, as described in those *Guidelines*. OFDA will consider proposals that also include standalone activities under the Protection cluster in order to address conflict or gender-based violence elements related to an NFI response, and/or to build awareness of protection issues among local organizations when responding to conflict or violence-related crises. WASH should be the primary focus of any application, with NFIs as a secondary element. Inclusion of standalone Protection activities is optional. As noted in those *Guidelines*, at least one of the indicators for each subsector must be used. Applicants are requested to state in their applications: (1) the estimated cost per beneficiary; and (2) the percentage of the total affected population (by administrative unit or site) to be served under any resulting award. Applicants must consider the role that gender plays, demonstrate an understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security, and include a plan for achieving gender-integration and -balance.

Applications must also demonstrate that protection has been mainstreamed into the proposed activities. Protection mainstreaming means designing and implementing assistance programs in ways that minimize risks for, and address the effects of, harm, exploitation, and abuse. Further description of protection mainstreaming is available in the OFDA *Guidelines for Unsolicited Proposals and Reporting*.

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

OFDA encourages international NGOs to support, mentor, partner, and collaborate with local organizations. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List (which includes the U.S. Department of Treasury's Office of Foreign Assets Control "*Specially Designated Nationals and Blocked Persons List*"), which can be found at: <http://www.epls.gov>. Applicants working through local partners must ensure that local



organizations have the capacity to carry-out expanded programs, and should consider a capacity-building component which will leave a lasting impact on local organizations.

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

### **3. Place and Means of Submission**

All applications must be submitted electronically to [OFDA\\_APS@ofda.gov](mailto:OFDA_APS@ofda.gov). Applications may also be submitted via Grants.gov (see Section A above). Copies in .zip format may not be submitted since they are automatically quarantined by USAID's computer security system.

### **4. Communications with OFDA**

As an exception to the OFDA Guidelines for Unsolicited Proposals and Reporting, potential applicants may not have contact with OFDA except as described in Section D above.

### **5. USAID Disability Policy and Accessibility Standards**

The applicant's attention is directed to Section VI.A of the OFDA *Guidelines for Unsolicited Proposals and Reporting*. These policies have implications for both the program design and program budget.

### **6. Voluntary Survey on Faith-Based and Community Organizations**

The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations, as described in Section VI.C of the OFDA *Guidelines for Unsolicited Proposals and Reporting*.

### **7. Branding Strategy and Marking Plan (BS/MP)**

NGO and foreign governmental organization (but not PIO) applicants are required to comply with 22 CFR 226.91 (see G below) and USAID Automated Directive System (ADS) Chapter 320, *Branding and Marking* available at <http://www.usaid.gov/policy/ads/300/320.pdf>. As an exception to Section V.G of the OFDA *Guidelines for Unsolicited Proposals and Reporting*, applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs

should be included in the application budget even if the applicant does not submit its BS/MP with the application.

## 8. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods

The applicant's attention is directed to Section V.F of the OFDA *Guidelines for Unsolicited Proposals*, as well as ADS 312 (<http://www.usaid.gov/policy/ads/300/312.pdf>) and ADS 313 (<http://www.usaid.gov/policy/ads/300/313.pdf>). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration.

## F. EVALUATION CRITERIA

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

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

### 1) Justification for Proposed Intervention(s) – 5 points

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

- Identified need(s) based on assessments or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.
- Needs have been quantified, to the extent possible, using **Sphere Guidelines** or other national/international standards;
- The extent of the applicant's attempt to obtain historical and/or baseline data so that the likelihood of disaster events can be assessed.
- The extent to which activities target identified needs and fill gaps in current humanitarian programs.
- Consultation with targeted communities prior to submission of the application and incorporation of their concerns and needs into the application.

### 2) Program Description - 25 points

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

- The application provides sufficient detail on the triggers that would constitute a humanitarian emergency warranting response under this rapid response mechanism.

- The application provides sufficient detail on specific activities proposed to address the list of qualifying disaster events, and methods to be used for a determination of technical appropriateness to be made.
- Detailed information on assessment methodology that will be used to determine the need for a rapid response under this mechanism.
- The activities are consistent with Section B of this APS.
- Appropriateness of proposed activities to addressing needs and OFDA's objectives within the proposed timeframe.
- Methodology for selecting the targeted population(s); target population clearly identified in terms of number, location, and current status.
- Protection mainstreaming and conflict mitigation are clearly addressed throughout the Program Description.
- Description and understanding of the role that gender plays and plan for achieving gender integration and balance; a demonstrated understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security.
- Strength and realism of the Monitoring and Evaluation plan in measuring results and impact of the program.
- Appropriateness of proposed indicators; the organization has made an attempt to identify impact, as well as output, indicators.
- Level of innovation and creativity in the program design and implementation.
- A well-planned transition/exit strategy that transfers activities to host government institutions, local partners, and/or beneficiaries.

3) Institutional Capability and Past Performance - 25 points

Applicants will also be evaluated based on their institutional capability and past performance, specifically:

- Contextual knowledge of the country of the proposed intervention, including political, economic, cultural, social, and institutional norms.
- The applicant's capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous programs.
- The applicant's ability, structure, and processes to issue and manage subgrants, and work with local groups where possible to increase local capacity.
- The applicant's ability to begin implementation expeditiously.
- Past performance record, including relationships with U.S. and host government authorities and target populations (see Section VI.D.3 of the OFDA *Guidelines for Unsolicited Proposals and Reporting*).

4) Sustainability - 15 points

Applications will be evaluated for sustainability in terms of the applicant's plan for program phase-out or hand-over to host government institutions, local partners, or beneficiaries.

5) Coordination - 15 points

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

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

6) Cost -- 10 points

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

- Cost-effectiveness: percentage of the overall budget which goes to direct assistance for beneficiaries, and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to OFDA.
- Cost realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

7) Security - 5 points

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

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

**G. AWARD ADMINISTRATION AND RELEVANT WEBSITES FOR REFERENCE****1. U.S. Non-Governmental Organizations**

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

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.

- 22 CFR 226, which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html).
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122); and
- OMB Circular A-133 for both universities and non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=7aec43c3df7b2501ebfc92494da2c79c&rgn=div6&view=text&node=48:1.0.1.5.30.2&idno=48>.
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.
- 22 CFR 228, which is available at <http://www.gpo.gov/fdsys/pkg/FR-2012-01-10/html/2011-33240.htm>

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

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

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at [https://www.acquisition.gov/far/html/Subpart%2031\\_2.html](https://www.acquisition.gov/far/html/Subpart%2031_2.html).
- USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.
- 22 CFR 226, which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html). Note that, while 22 CFR 226 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.

- 22 CFR 228, which is available at <http://www.gpo.gov/fdsys/pkg/FR-2012-01-10/html/2011-33240.htm>. Note that, while 22 CFR 228 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.
- Chapter 591.3.2.1 of USAID's Automated Directives System - *Audits of Foreign Organizations - Guidelines for Financial Audits Contracted by Foreign Recipients* <http://www.usaid.gov/policy/ads/500/591maa.pdf>

[END OF APS]