

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

OFFICE OF DEVELOPMENT PARTNERS

FY2008 ANNUAL PROGRAM STATEMENT

APS No: M/OAA/GRO/EGAS – 08 - 108

PUBLIC-PRIVATE ALLIANCES

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List of Acronyms

APS	Annual Program Statement
CbA	Collaboration Agreement
CTO	Cognizant Technical Officer
GDA	Global Development Alliance
MOU	Memorandum of Understanding
NGO	Non-governmental Organization
ODA	Official Development Assistance
ODP	Office of Development Partners
PPA	Public-Private Alliance
PVO	Private Voluntary Organization
RFA	Request for Application
USAID	United States Agency for International Development
WOU	Washington Operating Unit

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APS No: M/OAA/GRO/EGAS – 08 - 108

**PUBLIC-PRIVATE ALLIANCES
IN**

- A) AGRICULTURE**
- B) ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY
STRENGTHENING**
- C) HUMANITARIAN ASSISTANCE**
- D) DISASTER PREPAREDNESS, RESPONSE AND RECOVERY**
- E) ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- F) EDUCATION**
- G) ENVIRONMENT/ENERGY**
- H) FOOD SECURITY**
- I) HEALTH**
- J) INFORMATION TECHNOLOGY**
- K) URBAN PROGRAMS**
- L) WATER**

Issuance Date: December 5, 2007
Closing Date: September 30, 2008
CFDA #: 98.011

This program is authorized in accordance with Part I of the Foreign Assistance Act of 1961 as amended.

Ladies/Gentlemen:

The Office of Development Partners (ODP) of the United States Agency for International Development (USAID) invites interest from prospective partner organizations to form Global Development Alliances to carry out activities in support of USAID's international development objectives. Alliance partners are expected to bring significant new resources, ideas, technologies, and/or partners to address development problems in countries where USAID is currently working. Partners could include a wide range of organizations such as: foundations, U.S. and non-U.S. non-governmental organizations (NGOs), U.S. and non-U.S. private businesses, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, other donor governments, host country governments, regional organizations, host country parastatals, philanthropic leaders including venture capitalists, public figures, advocacy groups, pension funds and employee-welfare plans, etc. Successful proposals will bring at least a 1:1 resource leveraging to focus on priority development activities within USAID's manageable interest. However, proposals with greater resource leverage ratios (generally 2:1 or more) are more

competitive. Proposals which involve corporate funding partners will also be seen as more competitive.

Since FY 2001, USAID has obligated \$2.1 billion to approximately 600 public-private alliances worldwide, and leveraged over \$5.8 billion in committed contributions from more than 1,700 distinct partners.¹ Through these alliances, USAID has not only gained additional financial resources for development activities, but also new technologies, intellectual capital and technical and managerial expertise that enhance its ability to address an increasingly complex set of development challenges. USAID strongly believes in the public-private alliance model and intends to dramatically increase the number of partnerships formed this year. This solicitation is encouraging and creating the competitive environment for new alliances to be created in FY08.

I. BACKGROUND

USAID is committed to improving the way we implement our foreign assistance mandate through broader collaboration with others. No longer are governments, international organizations, and multilateral development banks the only assistance donors. Rather, over the past 30 years, non-governmental organizations (NGOs)/private voluntary organizations (PVOs), cooperatives, faith-based organizations, foundations, corporations, the higher education community, and even individuals (including remittances from immigrants), now provide a greater portion of the total resources that contribute to development. As a result, the U.S. Government recognizes an exciting opportunity to enhance the impact of development assistance by improving and extending its collaboration with other partners.

USAID has successfully developed strategic alliances in the past with an extensive range of partners, notably NGOs, U.S. universities and colleges, and bilateral and multilateral donor agencies. In 2001, USAID launched the Global Development Alliance (GDA) business model to extend this concept further by, first, increasing the range of prospective partners to include private businesses, foundations, and other private-sector organizations, and, second, seeking alliances with partners that leverage significant resources and technologies, to address international development issues.

USAID is reorienting how it sees itself in the context of international development assistance, how it relates to traditional partners, and how it seeks out alliances with new partners. USAID uses its resources and expertise to assist strategic partners in their investment decisions and stimulates new investments by bringing new actors and ideas to the overseas development arena. While the Agency will continue to deploy resources where private funding is not available and where the governmental role is clear and pre-eminent (as in promoting policy change), it hopes, through the use of public-private alliances where appropriate, to stimulate new investment and new practices. USAID has much to offer with its unique mandate within the U.S. Government and long-term experience with, and access to, host-country governments. The Agency is able to capitalize on its extensive field presence, network of local development partners and

¹ This information is updated regularly and subject to change.

technical expertise to catalyze, integrate, coordinate, and facilitate public-private alliances among development assistance actors. USAID recognizes that effective alliances will marry common interests and will require time and careful planning. However, such alliances have the potential for not only mobilizing additional resources for development assistance programs worldwide, but also promoting greater effectiveness of those programs, and hence greater impact on the problems of poverty, disease, inadequate education, depletion of natural resources, and limited economic opportunity throughout the developing world.

In developing public-private alliances congruent with the GDA business model, USAID uses the following precepts:

- Alliances are expected to bring significant new resources, ideas, technologies and/or partners to address development problems in countries where USAID works.
- Alliances should demonstrate a minimum of one-to-one leverage ratio of resources. **USAID is particularly interested in alliance opportunities where its resources are leveraged at a two-to-one or greater ratio².** At least some portion of the leverage must be in the form of cash. In addition to monetary contributions, in-kind resources such as services, property, volunteer time, equipment, and supplies are also valuable contributions. Alliance proposals must clearly specify what each party is contributing and indicate the cash value of in-kind support. (See Section II C on Page 11 for a more complete discussion of leverage and in-kind contributions.)
- While alliance proposals must specify what each party is contributing at the outset, it is also recognized that lasting alliances are dynamic and changing. Some alliances will start small and expand over time as the alliance matures and succeeds, trust is built, and the benefits to the partners and beneficiaries become clearer.
- In general, alliances must operate in countries where USAID has field missions and must fit within the strategic objectives of these missions and/or the appropriate Washington operating unit (WOU). However, broad, multi-country alliances that are addressing priority development issues may operate in countries where USAID does not have a field mission. (See [Annex A](#) for a listing of USAID Mission Presence Countries).
- Alliances must clearly establish up front how the interests and objectives of each party converge. This expression of interests and objectives should then lead to an operational plan that, if successfully implemented, will produce clearly defined, measurable and attributable development results.
- Alliances should not simply be matching grants nor should they be grants to organizations that have expressed an intention to seek third party partnerships that are not yet formed. The Global Development Alliance business model seeks

² Please note that individual USAID missions/operating units may require additional leverage greater than one-to-one.

relationships and resources beyond traditional norms.

- It is important to exercise due diligence before entering into alliance arrangements with partners. To ensure that the interests of all alliance partners are protected, the offeror should conduct adequate due diligence on all funding partners to ensure that track record, objectives, financial, social and environmental practices, and reputations of all alliance partners are satisfactory.
- There is no pre-defined minimum or maximum number of partners; each alliance will be different. There are many categories of potential alliance partners.
- Fairness and transparency are overarching principles in forming alliances. Exploration of possible alliances should take place in a transparent manner and should involve wide consultation with possible partners.
- Like all development investments, alliance activities at the country level that actively involve local leadership and local beneficiaries (this includes women and men) in design and implementation are the ones most likely to be successful and sustainable. Local ownership, leadership and beneficiary participation are still keys to success.
- All USAID-financed programs and activities must comply with USAID's environmental procedures set forth at 22 CFR 216.

Please refer to the USAID website at www.usaid.gov/gda for more information about the history and objectives of this initiative. The web site also provides examples of recent alliances worldwide.

Please also refer to www.usaid.gov/policy/ads/300/303.pdf for governing regulations, standard provisions, and required certifications that will need to be submitted by applicants at the time of award.

A. Important Differences from Previous Requests for Applications and Annual Program Statements in Public Private Alliances

For those applicants who have submitted alliance proposals previously, please note the following changes:

- Prospective alliances must seek agreement from the mission or WOU before submitting a full application by preparing and submitting a concept paper to those units and gaining their concurrence to move forward to the application stage (see [Annex B](#) for Mission Points of Contact). All funding decisions concerning concept papers submitted under this APS are made by the mission or WOU, and not by the Office of Development Partners.
- **Applications are to be submitted directly to the missions or WOUs.** Only upon receipt of positive mission/WOU feedback is the applicant to put together a full application for mission/WOU consideration. Applications may be submitted

throughout the fiscal year, though it is highly recommended that applicants submit concept papers as early as possible in the fiscal year. This will allow adequate time for mission/WOU to consider these concepts. Note that proposals, if received before September 30, 2008, may also be considered for funding in FY2009.

- There is no minimum or maximum financial contribution that may be sought from USAID under this APS. For reference purposes only, past awards have ranged from \$50,000 to \$10,000,000.
- A minimum non-USAID resource leverage of at least 1:1 is necessary for an application to be even considered. However, alliances that leverage outside resources of at least 2:1 are preferred.
- This utilization of an initial concept paper approach in the solicitation is further intended to provide a window of opportunity for resource partners to discuss with USAID staff their mutual interests in working together to build alliances that are of a common cause. Similarly, the APS also provides a window for USAID staff to discuss possible alliances with potential resource partners to identify activities of mutual interests.
- The Office of Development Partners may also use this APS to solicit and review alliances.

Please note that this solicitation is also intended to encourage the use of the Collaboration Agreement, a new obligating instrument for building alliances, where appropriate. USAID routinely uses grants and cooperative agreements as implementing mechanisms to resource many public-private alliances. However, a relationship between USAID and another resource partner may not be best supported by conventional assistance instruments, particularly when dealing with non-traditional partners, (e.g., a private organization offering resources at a leveraged ratio in excess of one to one, whose principal business purpose is other than foreign development assistance, and who has not routinely received federal funding under traditional grants and cooperative agreements). The Collaboration Agreement is an innovative mechanism and may be considered for use as an implementing instrument when:

- A Non-Traditional Partner will be receiving USAID funds directly;
- The proposed alliance is within the GDA precepts and the alliance program is deemed appropriate under the terms of this APS;
- There is a compelling reason for government and non-government funding resources to be pooled (co-mingled) in the alliance implementing agreement; and
- It would be necessary to make an impracticable number of changes to standard agreement provisions.

For further specifics regarding the Collaboration Agreement, refer to [Annex C](#) for the Acquisition and Assistance Policy Directive (AAPD 04-16) dated December 2004.

B. Sectors and Program Objectives

This Annual Program Statement (APS) seeks to support multiple activities that will be quick to start and responsive to critical developmental needs. It is intended that this APS

will be used by missions and WOUs to provide for full and open competition for any proposed alliance involving grants, cooperative agreements, Leader with Associate Awards or collaboration agreements that are responsive to the terms herein. Note that this APS does not provide for competition needs for goods and services that may be procured under acquisition instruments.

C. Framework for U.S. Foreign Assistance

The Foreign Assistance Framework is an analytical tool aimed at targeting limited U.S. Government resources efficiently and effectively within countries and at the regional and global level. It categorizes each country receiving U.S. foreign assistance based on common traits, and places them on a trajectory of progress, with the ultimate intent of supporting recipient country efforts to move from a relationship defined by dependence on traditional foreign assistance to one defined by full sustaining partnership status. With this intent in mind, it focuses foreign assistance on maximizing country progress based on strategic priorities for country advancement rather than historical allowances. To this end, the framework:

- Defines the primary goal for United States Government Foreign Assistance, which is to help build and sustain democratic, well-governed states that respond to the needs of their people, reduce widespread poverty, and conduct themselves responsibly in the international system.
- Identifies the five strategic objectives (Peace and Security, Governing Justly and Democratically, Investing in People, Economic Growth, and Humanitarian Assistance) related to achieving that goal.
- Defines five broad country categories of similarly situated countries based largely on independently measured indicators of country progress.
- Helps identify which types of programs are best suited to help a country progress and focuses assistance on those most critical needs, based on the intersection of the objective and the country category.
- Provides a unified point of reference for USAID and State to bring their respective expertise to bear, eliminate redundancies, and create opportunities for amplification.

Country Categories: The Strategic Framework identifies five broad categories (Rebuilding, Developing, Transforming, Sustaining Partnership, and Restrictive) of countries with similar political, economic, and social characteristics. Each category is associated with areas of emphasis for U.S. Foreign Assistance – whether it be investments in people and economic growth for "Transforming" countries or improvements in governance and democratic participation for "Developing" countries. While being "in" a category helps determine where to target assistance to maximize country progress, it has no direct effect on funding level.

Offerors should strive to ensure that any concept papers submitted propose partnerships that are appropriate to the relevant country category for the country.

For more information on country categories, please visit:

D. Regional Priorities

Each regional bureau has identified its programmatic funding priorities. While concept papers in non-priority areas may be submitted under this APS, it is unlikely that such proposals will be considered for funding.

Sub-Saharan Africa

U.S. foreign assistance to Africa is directed to helping African governments, institutions, and African-based organizations incorporate good governance principles and innovative approaches to health, education, economic growth, agriculture, and environment programs. USAID programs and activities in Africa in these sectors aim to ensure that development assistance supports the overall goal of transformational diplomacy-to help build sustained and well governed states that respond to the needs of their people, reduce widespread poverty, and conduct themselves responsibly in the international system.

- Promotion of African entrepreneurship
- Consolidate democratic transitions
- Bolster fragile states
- Strengthen regional and sub-regional organizations
- Strengthen regional security capacity
- Stimulate Africa's economic development and growth
- Implement Presidential initiatives
- Focus on humanitarian assistance programs

Asia and the Near East

USAID funds innovative programming across a range of topics, including trade, education, health, environment, good governance and democracy with the goals of promoting country and regional stability and creating a more secure, democratic, and prosperous world. While USAID develops country-specific, multi-year plans, opportunities for GDA funding exist across common themes for the ANE region, including but not limited to: job creation, vocational training and higher education (e.g. Training Future Leaders), anticorruption, national government effectiveness, water resources management (e.g. Blue Revolution Initiative), biodiversity conservation (e.g. Coral Triangle Initiative), information and communication technology, and infectious disease prevention. Since in many ANE countries they represent the majority of the population, youth (15-24) are a particularly salient target group.

Europe and Eurasia

The Europe and Eurasia (E&E) Bureau assistance program focuses on the transformation of E&E countries into sustainable partners by supporting broad-based human progress, economic growth and democratic development. In E&E, there remain many varied and complex tasks as USAID works to forward human progress and help realize a

democratic, prosperous, and peaceful Europe and Eurasia. Given limited resources, each E&E Mission emphasizes a unique strategic mix based on the most critical priorities, opportunities and risks of non-engagement. Thus, applicants are encouraged to discuss proposed areas of engagement with USAID missions in advance of submitting applications to ensure they are consistent with mission strategic priorities and compliment performance objectives. In general terms, alliance proposals should strive to: (1) provide an opportunity to leverage the greatest level of resources; (2) introduce new partners into the development arena; and (3) pioneer new approaches to meeting development challenges.

Latin America and the Caribbean

USAID priorities and programs in the Latin America and Caribbean focus on the areas of:

- Democracy and Governance
- Economic Growth
- Education

Separate from this APS, missions or WOU's may: a) refer potential partners to the Office of Development Partners, Private Sector Alliances Division for further discussions on USAID's work with the private sector; b) advise interested applicants of an alternate process for any direct submittals to them; or c) develop an entirely separate process for the development of public-private alliances. Alliance activities eligible for specific bureau funding may require different criteria than those listed in this APS. Missions and bureaus may issue solicitations for their particular alliance building activities, or they may also issue announcements that use this vehicle to consider applications for alliances. To determine specific mission interests, potential applicants are encouraged to review mission strategic objectives by visiting respective web sites which can be reached at <http://www.usaid.gov/locations/>.

The sectors listed below represent the areas that will be considered for award as USAID's areas of primary interest for alliances:

- **AGRICULTURE**
- **ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- **CONFLICT/ RELIEF AND HUMANITARIAN ASSISTANCE**
- **DISASTER PREPAREDNESS, RESPONSE, AND RECOVERY**
- **FOOD SECURITY**
- **ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- **EDUCATION, UNIVERSITIES AND JOB TRAINING (?)**
- **ENVIRONMENT/ENERGY**
- **HEALTH**
- **INFORMATION TECHNOLOGY**
- **URBAN PROGRAMS**
- **WATER**

Please see [Annex D](#) for web sites discussing these sectors and programmatic activities where USAID seeks to develop public-private alliances.

In addition to the above technical sectors, USAID encourages proposals that 1) are related to the President's announcement on the International Methane to Markets Partnership; 2) supports the President's malaria initiative; and 3) engages the role of private industries to increase resources, expertise and financing to fight the spread of avian influenza, and to reduce the impact of a pandemic on the global economy.

II. PURPOSE OF APS AND QUALIFYING CRITERIA FOR PROSPECTIVE ALLIANCES

USAID reserves the right to make multiple grants, cooperative agreements, collaboration agreements or no awards at all through this APS. ***This APS seeks public-private alliance proposals only for funding in Fiscal Year (FY) 2008, although proposals should contemplate an alliance that continues beyond FY 2008. Proposals received during FY2008, but unable to be negotiated and awarded prior to September 30, 2008 may be considered for award in FY2009.*** Under this APS, USAID's Office of Development Partners solicits proposals from organizations that are interested in entering into public-private alliances with others, including USAID, to carry out activities that will be responsive to critical development needs identified by mission/operating unit in the countries and sectors where USAID seeks to develop alliances. Under this APS, USAID further intends that resource partners will be able to enter into a dialogue with USAID staff to build alliances. USAID will review alliance proposals using a two-stage process more fully described in Sections [III](#) and [IV](#).

There is no dollar value limit or minimum for individual proposals or for cumulative awards made under this APS. However, as a reference, past USAID funding awards have ranged between \$50,000 and \$10,000,000. The actual number of awards under this APS is subject to the availability of funds and the interests and requirements of missions/WOUs as well as viability of proposals received. Individual missions may opt to not participate in this worldwide APS. To be considered for an award under this APS, each applicant must meet the following qualifying criteria:

A. Partner Eligibility Criteria

This Annual Program Statement focuses on establishing public-private alliances to define a need and its solution, and to combine resources to achieve far-reaching, mutually agreed upon results. ***The following list of potential partners is for illustrative purposes because our eligibility criteria are wide. We welcome other new types of partners.*** Potential partners include foundations, U.S. and non-U.S. NGOs, faith-based organizations, U.S. and non-U.S. private businesses, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, other donor governments, host country governments, regional organizations, host country parastatals, philanthropic leaders including venture capitalists, public figures, advocacy groups, pension funds and employee-welfare plans, etc.

It is important to note that NGOs do not need to be registered Private Voluntary Organizations to submit an application. **Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under assistance instruments. Forgone profit does not qualify as cost-sharing or leveraging.**

In addition, all prospective partners must be organizations with a reputation for integrity and the highest standard of conduct, and a proven track record in their particular areas of expertise. They should be able to demonstrate a respect for human rights, gender sensitivity, integration of people with disabilities and other vulnerable groups, decent work conditions, environmental protection, and community involvement in their operational practices. They should also be able to provide evidence of a strong commitment to the proposed alliance and, ideally, experience in working in partnership with others.

Past applicants are welcome to apply. Alliance partners that were funded under previous public private alliance APS's and RFA's are also eligible to apply.

B. Program Eligibility Criteria

To be considered for funding under this APS, proposed programs must meet the following requirements:

1. Alliance proposals must have clearly-defined objectives that have been agreed to by the partners.
2. Alliance proposals are expected to demonstrate significant new, non-public resources – whether money, ideas, technologies, experience or expertise – to address international development problems (see [Leverage](#) criteria).
3. Alliances must operate in countries where USAID has field missions and must fit within the strategic objectives of these missions and/or the appropriate WOU. However, broad, multi-country alliances that are addressing priority development issues may operate in countries where USAID does not have a field mission. (See [Annex A](#) for a listing of USAID Mission Presence Countries).
4. Alliance proposals must contribute to one or more of the USAID's high priority sectoral and programmatic objectives (see [Annex D](#)).
5. Alliance proposals must offer promise of significant development impact, as measured, for example, by the number of direct and indirect beneficiaries of the program, enhanced sustainability and/or by the potential for replication or scaling-up over time.
6. Alliance proposals must appear feasible from a technical, economic, financial, and social perspective.

It is expected that programs may last from 12 to 60 months. Priority will be given to proposals that can be launched rapidly. USAID will not provide funds under this APS for products and services that would be purchased through a contract.

C. Leverage³

GDA alliances are expected to bring significant new, non-public resources – whether money, ideas, technologies, experience or expertise – to address international development problems. ***To qualify for USAID funding under this APS, an alliance must demonstrate that partners are able and willing to collectively contribute significant resources to the proposed program that are at least equal to the level of resources sought from USAID: A minimum 1:1 leveraging is a minimum condition for concept/proposal consideration.*** At least some portion of the leveraging should be in cash.

Alliances in which non-USAID resources leveraged have a more clearly defined cash component are generally more competitive. However, various types of in-kind contributions can play an important role in funding alliances. Examples of in-kind contributions that USAID seeks under alliances include:

- Commodities⁴ such as drugs, food stuffs or equipment
- Use of training or other purpose-specific facilities necessary to a program's implementation
- Value of time donated by technical consultants necessary to a project
- Value of salaries for staff dedicated to a project
- Innovative technology, communications and capital assets.

Further, it must be shown that these resources, in combination with the support sought from USAID, will provide the alliance with a comparative advantage in meeting the goals and objectives of the proposed program in a sustainable fashion.

It is this expectation of significant leverage of non-public resources, in combination with joint planning and of sharing risks and benefits, that defines the public-private alliances under the GDA as distinct and different from those activities USAID has previously supported.

³ USAID traditionally defines cash or in-kind resource contributions as “cost-share or matching.” A definition of items that constitute “cost share or matching” can be found at 22 CFR 226.23 (see <http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/cfr_2002/aprqtr/22cfr226.23.htm>). Cost-share or matching is reported on a periodic basis on payment forms, and USAID has the right to reduce its share of funding if the cost-share reported is less than the agreed upon percentage or amount contained in the award. Finally, if a difference remains after an award has expired; the difference shall be refunded to USAID. The contributions being proposed in an application do not have to be proposed under the above “cost-share or matching” definition and provision; they can be proposed as “leveraging,” as discussed above. Applicants should indicate whether they are proposing the contributions as “cost-share or matching” or as “leveraging.” If proposing as “leveraging,” applicants should be prepared to provide annual benchmarks that include proposed results to be accomplished with USAID funds and the additional leveraging, and should be prepared to provide annual timelines that include percentages or amounts. The benchmarks and timelines will be included in the terms of any agreement awarded under this solicitation.

⁴ Note that this APS should not be used to solicit funds for transportation of donated commodities.

III. APPLICATION INSTRUCTIONS, REVIEW PROCESS, AND EVALUATION CRITERIA

A. Overview of the Application Process

USAID missions and WOUs will be responsible for the application review process and management of the award process. Applicants are required to submit short concept papers (see below for instructions) to missions or operating units, and may receive instructions on whether or not to proceed with a full application. Technical comments provided on the concept paper should guide the submission of the full application. Any concepts or applications submitted late in the fiscal year may be held over by the mission or operating unit for consideration for funding in the following fiscal year.

Applicants are reminded that applications that are: (i) aligned with the goals of a USAID mission or WOU; (ii) feasible; (iii) innovative; and (iv) bringing leveraging of a minimum one-to-one ratio (with at least some portion in cash) will receive consideration. For information about specific mission and operating unit goals and objectives please consult [Annex A](#), and:

<http://www.usaid.gov/policy/budget/cbj2008>

For contact information by mission, please see [Annex B](#). It should be noted that for U.S. Organizations 22CFR226, OMB Circulars and the USAID Standard Provisions would be applicable. For non US. organizations Mandatory Standard Provisions mentioned in ADS 303 would be applicable.

The Office of Development Partners, Private Sector Alliances Division is responsible for this solicitation and any questions concerning this APS can be submitted to Mr. Jerry O'Brien at the contact information below. A summary of frequently asked questions will be posted on the web at <http://www.usaid.gov/gda>.

Jerry O'Brien
Email: jo'brien@usaid.gov
(202) 712-4455

Issuance of this APS does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application. Some missions or operating units may opt not to participate in this APS. Please consult with the point of contact provided in [Annex B](#) to determine the level of interest and whether funds will be made available for alliances.

B. Concept Paper Instructions

All applications must contain the items below, including the attachments, where requested, and should not to exceed 5 pages in total.

The concept paper shall include:

Cover Page/Introduction:

1. Name and address of organization;
2. Type of organization (e.g., for-profit, non-profit, university, etc.);
3. Contact point (lead contact name; relevant telephone, and e-mail information).
Regional or multi-country applications should provide the name of at least one local partner for each country targeted in the program;
4. Names of other organizations (federal and non-federal as well as any other USAID offices) to whom you are/have submitted the application and/or are funding the proposed activity; and
5. Signature of authorized representative of the applicant.

Technical Information:

1. Concise title and objective of proposed activity;
2. Discussion of the objectives, the method of approach, the amount of effort to be employed, the anticipated results, and how the work will help accomplish USAID's as well as the field mission's specific strategic results within the field mission's timeframe; and
3. Type of support the applicant requests from USAID (e.g., funds, facilities, equipment, materials, personnel resources, etc.).

Supporting Information:

1. Proposed estimated cost;
2. Brief cost breakdown (e.g., salaries, travel, etc.);
3. Proposed amount of the applicant's financial as well as in-kind participation (clearly identify which resources are cash and which are in-kind and provide information on the nature of the in-kind contributions);
4. Proposed amount of prospective or existing partner's (or partners') financial as well as in-kind participation;
5. Proposed duration of the activity; and
6. Brief description of applicant's, as well as prospective or existing partner's (or partners'), previous work and experience.

All concept papers must be in English and submitted electronically via email.

C. Full Application Instructions

Missions/WOUs have the authority and ability to invite applicants to submit a full application based upon favorable reviews of concept papers. These instructions are illustrative. USAID missions or operating units may request other information. Note page limits.

The length of the application should not exceed the following page limits:

- Budget Information (Standard Form SF-424 and supporting narrative; see <http://www07.grants.gov/techlib/SF424-V2.0.pdf>): No limit
- Executive Summary: 2 pages
- Body of Application: 25 pages
- All Attachments: 15 pages

The body of the application should include the following information:

- Table of Contents listing all page numbers and attachments
- Executive Summary
- Program Description
- Goal and Objectives
- Background/Problem Statement
- Explanation of partners and their expected roles, including partner and other resources brought to bear (leveraging)=
- Proposed Interventions/Technical Approach
- Expected Impact
- Duration of Activity
- Role of USAID (e.g., facilities, equipment, material, or personnel resources)
- Detailed budget and financial plan with major line items, identification of funding source (i.e., by partner) for each, and a narrative description of what the resources will be used for
- Statement outlining gender and disability integration issues and how the applicant proposes to address the issues
- Relevant organizational experiences of recipient and key partner organizations
- Implementation Schedule

In addition to the narrative described above, the application should include as attachments:

- A draft letter of intent from resource partners
- A Memorandum of Understanding, which describes roles, responsibilities and contributions of each alliance partner including USAID
N.B.: The mission or operating unit will determine whether a finalized MOU is or is not required prior to the award being made.
- Curriculum vitae for key staff

The annexes may also include relevant information about alliance partners. This can include documentation of intent to participate by other partners. ***Please note excessive documentation submitted under the annexes is neither necessary nor wanted.***

All applications must be in English and submitted electronically via email.

Missions or WOUs will instruct applicants where to send their applications and when they are due. *Note: An invitation to submit a full application does not constitute an award; USAID may choose to not fund applications even after they have been requested.*

D. Criteria for Application Review

USAID's review will focus on assessing the likelihood that the proposed alliance program would be successful in achieving its objectives based on criteria provided below. The factors to be considered include the following:

Primary criteria (in descending order of priority):

1. Fit within USAID's strategic objectives: Does the proposed activity align with USAID mission or operating unit's strategic plan and time frame?
2. Feasibility (technical, economic, financial, and social)
 - a. Does the program have well-defined and achievable objectives?
 - b. Does the program have the potential to yield significant development results?
 - c. Does the alliance offer enhanced sustainability and/or local involvement?
3. Value of leveraged resources and/or cost-share
 - a. Above one-to-one leveraging or cost-share (of cash or quantifiable, project-specific in-kind resources)
 - b. Demonstrated resource partner commitment: Is there evidence of commitment by a lead partner? Of commitment by other partners? Is there a demonstrated commitment to meet leveraged resource responsibilities?
4. Innovation
5. Cost effectiveness and cost realism

Additional criteria that will be considered are (in descending order of priority):

6. Enhanced sustainability as a function of the alliance
7. Partner Characteristics
 - a. Does the alliance bring new actors to the table?
 - b. Do the potential alliance partners meet ethical standards?
 - c. Do they have proven track records in their particular area of expertise?
 - d. Do they have experience working in partnership with others?
8. Demonstration effect/scalability
9. Readiness for implementation
10. Development impact on men and women, disaggregated by gender
11. Past performance
12. Integration of vulnerable groups (women, children, people with disabilities, people living with HIV/AIDs, elderly, ethnic minorities, etc) as appropriate and relevant.

Note: To the extent that any applications are received for a similar activity in the same mission or operating unit, an application that makes use of highly skilled U.S.

volunteers in support of one of the volunteer-based initiatives will be given a preference, all other factors being equal.

IV. AWARDING ALLIANCES

A. Due Diligence Concerns

Due diligence requires that the U.S. Government enter into alliance with organizations and individuals who exhibit fiscal responsibility, character, and integrity. Annex E sets forth a number of questions, which, if applicable to the organization and program, will be factored into the evaluation and selection process governing an award. Not all the questions are appropriate for all situations. For example, a prospective alliance with a locally-owned private company in a developing country is likely to be quite different from one with major multinational corporations, and a number of these questions would likely not apply. USAID will conduct an independent review of these issues as they relate to potential alliance partners. However, offerors should have conducted due diligence on potential partners and are welcome to provide any information deemed useful. Potential partners may be requested to respond to any potential issues that arise as part of the due diligence research, and failure to resolve serious concerns will be cause for non-award.

B. Memorandum of Understanding (MOU)

Upon favorable review of the full proposal, partners including USAID may draft a Memorandum of Understanding (MOU), which will be used to clarify roles and responsibilities of each alliance partner. *The mission or operating unit will determine whether an MOU does or does not need to be in place prior to an award being issued by USAID.*

C. Roles of Partners

Partners to the alliance effort (including USAID) bring strengths to the table. The actual division of responsibilities and risks are intended to be covered under the Letter of Intent/Memorandum of Understanding prior to finalizing the Agreement. Therefore, the following illustrative list of examples of allocation of responsibility will be adjusted based on the successful alliance proposal, the best use of contributions from multiple partners, and the appropriate assignment of management and implementation responsibilities. USAID's role under some alliances may differ from the traditional role of provider of funds or source of oversight.

1. Example of USAID Responsibilities

Examples of USAID responsibilities are as follows. The Agreement Officer, or as specifically delegated, the Cognizant Technical Officer (CTO) might provide:

- a) Collaboration in establishing annual work objectives and approval of an annual work plan.
- b) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- c) Collaboration in determining corrective actions, where necessary.
- d) Approval of key personnel and any subsequent changes in the positions during the life of the award.

2. Example of Resource Partner Responsibilities

Examples of a Resource Partner's responsibilities may include:

- a) Participation on a management committee overseeing the alliance.
- b) Collaboration in establishing annual work objectives of the implementing partner.
- c) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- d) Collaboration in determining corrective actions, where necessary.

3. Example of Implementing Partner Responsibilities

The implementing partner of the program will operate in accordance with the terms and conditions of the grant, cooperative agreement or the collaboration agreement, the Letter of Intent/Memorandum of Understanding agreed upon by all partners to the alliance as needed, and all other applicable USAID regulations. The implementing partners will likely be responsible for the following activities and documentation during the life of the program:

- a) Requesting approval for program's key personnel;
- b) Working with partners to develop annual work plans;
- c) Conducting ongoing assessment of progress and a final evaluation, and submitting annual reports according to the requirements outlined in the award;
- d) Reporting on contributions of all alliance partners;
- e) Compliance with USAID branding requirements;
- f) Requesting approval for any changes in program description; and
- g) Submitting updated Standard Form 424A annually (section D and E only).

D. Budget Negotiations

Following a proposal review, applicants will be advised if negotiations are to be initiated, additional information is required, or if a decision has been reached not to fund the proposal.

E. Award

Following favorable negotiations, a grant (including Leaders with Associates), cooperative agreement or a collaboration agreement will be awarded either to the

institution proposing the alliance or to a third entity that was proposed to implement the jointly funded alliance.

F. Reporting

Program implementation reporting will be determined based on the outcome of the collaborative finalization of the planned program and the delineation of roles and responsibilities. An annual performance monitoring plan, using established baseline data and specific, measurable targets and indicators will also be agreed upon.

Financial reporting will be in accordance with the requirements of the obligating document, following mutual agreement of provisions.

V. ANNEXES

[ANNEX A – ELIGIBLE COUNTRY LIST](#)

[ANNEX B – POINTS OF CONTACTS IN HOST COUNTRIES OR WOUS](#)

[ANNEX C – ACQUISITION AND ASSISTANCE POLICY DIRECTIVE](#)

[ANNEX D – SECTORAL AND TECHNICAL PROGRAM RESOURCE LIST](#)

[ANNEX E – FREQUENTLY ASKED QUESTIONS](#)

ANNEX A

ELIGIBLE COUNTRY LIST

USAID has over 80 missions throughout the developing world (as defined as Development Assistance Committee recipient countries). USAID will give priority to proposals that seek alliance activities in USAID mission presence countries. In some cases where there is a regional or global alliance proposed it is possible to work with partners in some USAID non-mission countries. Activities in all countries are subject to legal and policy restrictions that may change without prior notice.

USAID MISSION PRESENCE COUNTRY LIST

<u>AFRICA</u>	<u>ASIA AND NEAR EAST (CONT)</u>	<u>EUROPE AND EURASIA (CONT)</u>
Angola	Afghanistan	Kosovo
Benin	Bangladesh	Kyrgyzstan
Burundi	Cambodia	Latvia
Democratic Republic of Congo	Egypt	Lithuania
Eritrea	India	Moldova
Ethiopia	Indonesia	Poland
Ghana	Iraq	Russia
Guinea	Jordan	Serbia and Montenegro
Guinea-Bissau	Lebanon	Slovak Republic
Kenya	Mongolia	Tajikistan
Liberia	Morocco	Turkmenistan
Madagascar	Nepal	Ukraine
Malawi	Pakistan	Uzbekistan
Mali	Philippines	
Mozambique	Sri Lanka	<u>LATIN AMERICA/CARIBBEAN</u>
Namibia	Thailand	Bolivia
Niger	Vietnam	Brazil
Nigeria	West Bank/Gaza	Colombia
Rwanda	Yemen	Dominican Republic
Senegal		Ecuador
Somalia	<u>EUROPE AND EURASIA</u>	Eastern Caribbean*
South Africa	Albania	El Salvador
Sudan	Armenia	Guatemala
Tanzania	Azerbaijan	Guyana
Uganda	Belarus	Haiti
Zambia	Bosnia-Herzegovina	Honduras
Zimbabwe	Bulgaria	Jamaica
	Croatia	Mexico
	Georgia	Nicaragua
	Hungary	Panama
	FYR Macedonia	Paraguay
	Kazakhstan	Peru

NOTE: This list of USAID mission presence countries is subject to change without prior notice.

**Antigua, Barbuda, Dominica, St. Lucia, St. Vincent, and the Grenadines*

USAID NON-MISSION PRESENCE COUNTRY LIST

Below is a list of USAID non-mission countries that may be eligible for non-presence activities. There are various legal and administrative restrictions on USAID activity in these countries.

AFRICA

Botswana
Burkina Faso
Cameroon
Cape Verde
Central African Republic
Chad
Comoros
Cote d'Ivoire
Djibouti
Equatorial Guinea
Gabon
Gambia
Lesotho
Mauritania
Mauritius
Sao Tome & Principe
Sierra Leone
Somalia
Swaziland
Togo

ASIA AND NEAR EAST

Algeria
Bahrain
Bhutan
Fiji
Iran
Kiribati
Laos
Malaysia
Maldives
Oman
Papua New Guinea
Qatar
Samoa
Solomon Islands
Tuvalu
Tunisia
Vanuatu

EUROPE AND EURASIA

Macedonia

LATIN AMERICA/CARIBBEAN

Argentina
Belize
Chile
Costa Rica
Suriname
Uruguay

NOTE: This list of USAID non-mission presence countries is subject to change without prior notice. USAID maintains a list of eligible countries that can be found at:

http://www.usaid.gov/our_work/global_partnerships/gda/eligiblecountrylisting.doc

In accordance with legislative restrictions applicable to USAID funds, proposed activities in the Republika Srpska (RS) entity of Bosnia and Herzegovina may not be carried out in the following four RS municipalities: Pale, Bijelina, Sokolac and Han Pijesak. Further, proposed activities in the RS outside these four RS municipalities must be described in the Lautenberg Amendment waiver executed by the Secretary of State on February 9, 2006 and be consistent with the terms of this solicitation.

ANNEX B

USAID POINTS OF CONTACT IN HOST COUNTRIES AND WASHINGTON

Before submitting a concept paper, we encourage applicants to speak with a person at the USAID mission and/or WOU either by phone, email, letter, or in person. The mission and/or WOU will inform you whether or not your idea is appropriate to the country, of interest to the mission, and aligned with USAID goals in the country. Below is a link to a list of USAID mission strategic interests, contact points, and email addresses.

If, after checking the contact list, you are still unsure of the appropriate person at a USAID mission or WOU, please contact Mr. Jerry O'Brien at (202) 712-4455 or by e-mail at jobrien@usaid.gov

MISSION/WASHINGTON CONTACT INFORMATION:

http://www.usaid.gov/our_work/global_partnerships/gda/GDA_Contacts.doc

ANNEX C

ACQUISITION AND ASSISTANCE POLICY DIRECTIVE

AAPD 04-16

ISSUED: DECEMBER 30, 2004

1. PURPOSE:

This AAPD provides step-by-step guidance for the formation of Global Development Alliances (GDAs), including:

- Step one, **Finding a Partner:** Competition; Public Notice and Advertising Requirements; Appropriate Outreach Efforts (Other than “Discussions or Negotiations”)
- Step two, **Reaching Agreement:** Responsibility Determination and Due Diligence; Cost Share/Match versus Leveraging; and use of MOUs
- Step three: **Funding of GDAs:** contracts, grants and the introduction of the new Collaboration Agreement (CbA)

2. BACKGROUND:

The Global Development Alliance (GDA) initiative, announced in 2001, actively promotes strategic alliances between USAID and private and public sector partners as a business model for achieving United States Government (USG) development assistance objectives. GDA embraces the new reality of development assistance, that flows of private sector assistance to the developing world have overtaken official development assistance (ODA) (in 1970, 70% of assistance to the developing world was ODA and 30% was from the private sector. Today, the percentages are roughly reversed). GDA agreements direct some of this rapidly expanding stream of private funding to the same targets as parallel ODA programs, maximizing the impact of both and affording each partner the chance to bring its comparative advantage to bear on development problems of common interest and concern. The Agency defines a GDA alliance as a public private agreement (PPA) with shared responsibility, joint planning and decision making, new partners and new approaches, shared credit, and an equal or greater ratio of partner funds to USG funds.

An assessment of the GDA business model as it has developed over the past several years at USAID was undertaken in early 2004. The assessment found that the GDA business model is alive and working in all regions of the world, and is evolving into an increasingly important developmental methodology with a huge potential. The assessment also found that it will take time and effort to realize this potential, and recommended that USAID provide both more guidance and more flexibility in entering into alliances. The assessment further recommended entering into alliances that evolve beyond corporate or enterprise ‘social responsibility’ and engage alliance partners’ core businesses or missions.

This guidance is intended to provide both more clarity on the steps to creating successful alliances, and more flexibility to USAID operating units to enter into PPAs/GDAs, while

ensuring that the following four key characteristics, known as the **Alliance Precepts**, are present in successful alliances:

- Joint definition of the development goal and the means to achieve it, by all development partners in the alliance
- Agreement between the PPA partners to share resources and risks, and to collaborate on results in pursuit of an objective that can be better obtained with a joint effort
- Looking toward new partners (or existing partners in new ways) for innovative approaches
- Leveraging significant resources that may include financial resources, in-kind contributions and intellectual property

As you consider these precepts and the guidance below, please keep in mind that Public Private Alliances ARE NOT procurements, they are partnerships. To this end, there are many kinds of GDAs that do not involve obligation of USAID funds to a second party for the benefit of a third party (the aid recipients), such as partnership MOUs. This example is emphasized in order to demonstrate both the scope and flexibility of GDA agreements.

3. GUIDANCE ON ALLIANCES:

The guidance attached at attachments 1, 2 and 3 sets forth step-by-step considerations in reaching a GDA agreement: from competition requirements, advertising and outreach, to reaching agreement on the goals and methods, and finally, formal formation of alliances. While USAID grants and cooperative agreements are appropriately and routinely used (and the contract mechanism remains available), there are some circumstances when the relationship between USAID and another resource partner may be better supported through an alternative alliance agreement. Therefore, this guidance also introduces a new mechanism for formal formation, the Collaboration Agreement (CbA). The CbA is appropriate when:

- A Non-Traditional Partner⁵ will be receiving USAID funds directly,
- The proposed alliance is within the GDA precepts, above, and the alliance program is deemed appropriate under the terms of the Annual Program Statement (APS) or Request for Application (RFA),
- There is a compelling reason for the government and non-government funding resources to be jointly programmed, and
- Other funding/implementing mechanisms have been considered and rejected as unfeasible or inappropriate

4. ATTACHMENTS:⁶

⁵ A non-traditional partner is a private organization offering resources at a leveraged ratio in excess of one to one, whose principal business purpose is other than foreign development assistance or whose development assistance purpose was recently established, and who has not routinely received federal funding under traditional grants and cooperative agreements.

Attachment 1. Step one, Finding a Partner

Section I. Guidance Regarding Competition, Public Notice & Advertising Requirements for PPAs.

Section II. Guidance Regarding Outreach Efforts

Attachment 2. Step two, Reaching Agreement

Section I. Responsibility and Due Diligence

Section II. Cost Share/Match vs. Leveraging

Section III. Memorandums of Understanding (MOU)

Attachment 3. Step three, Funding the Agreement, including guidance regarding the Collaboration Agreement (CbA).

POINT OF CONTACT: Mark Walther, M/OAA/DCHA, (202) 712-5719, and Jean Horton, USAID A&A Ombudsman, (202) 712-1431.

⁶ Please refer to the following web site for the full text of the policy directive to view the attachments:
http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_16.pdf

ANNEX D

SECTORAL AND TECHNICAL PROGRAM RESOURCE LIST

AGRICULTURE

For further information please refer to USAID's Agriculture webpage:

http://www.usaid.gov/our_work/agriculture/

ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY STRENGTHENING

For further information please refer to USAID's Democracy and Governance webpage:

http://www.usaid.gov/our_work/democracy_and_governance/

AVIAN INFLUENZA

USAID invites proposals that specifically address Avian Influenza. The APS Announcement with specific instructions regarding Avian Influenza alliances is available at:

http://www.usaid.gov/our_work/global_partnerships/gda/ai_announcement.pdf

Additional information is also available at:

http://www.usaid.gov/our_work/global_health/home/News/news_items/avian_influenza.html

CONFLICT

For further information please refer to USAID's Humanitarian Assistance, Conflict Management and Transition Initiatives web pages:

http://www.usaid.gov/our_work/cross-cutting_programs/conflict/

http://www.usaid.gov/our_work/cross-cutting_programs/transition_initiatives/

HUMANITARIAN ASSISTANCE, DISASTER PREPAREDNESS, RESPONSE, AND RECOVERY

http://www.usaid.gov/our_work/humanitarian_assistance/

http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/

FOOD SECURITY

Title II Food Aid resources are eligible for building alliances. For further information, please refer to

USAID's Food for Peace webpage: http://www.usaid.gov/our_work/humanitarian_assistance/ffp/

ECONOMIC GROWTH AND TRADE CAPACITY BUILDING

For further information please refer to USAID's Economic, Growth and Trade webpage:

http://www.usaid.gov/our_work/economic_growth_and_trade/

EDUCATION

For further information please refer to USAID's Education, Universities and Training webpage:

http://www.usaid.gov/our_work/education_and_universities/

ENVIRONMENT/ENERGY

For further information please refer to USAID's Environment webpage:

http://www.usaid.gov/our_work/environment/

HEALTH

For further information please refer to USAID's Health webpage:

http://www.usaid.gov/our_work/global_health/

INFORMATION TECHNOLOGY

For further information please refer to USAID's Information Technology webpage:

http://www.usaid.gov/our_work/economic_growth_and_trade/info_technology/index.html

MALARIA

http://www.usaid.gov/our_work/global_health/id/malaria/index.html

URBAN PROGRAMS

For further information please refer to USAID's Economic Growth and Trade webpage:

http://www.usaid.gov/our_work/economic_growth_and_trade/urban_programs/index.html

WATER

This area includes activities related to water resources, drinking water supply, point-of-use water treatment, sanitation, and wastewater management. Descriptions of current USAID activities can be found at:

http://www.usaid.gov/our_work/environment/water/

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

ANNEX E

FREQUENTLY ASKED QUESTIONS

Dates and Deadlines

1. Where do we submit our concept paper and the full proposal?

Interested applicants are required to submit short concept papers to **missions and WOUs** (i.e. regional bureaus, pillar bureaus, offices) and may receive instructions on whether or not to proceed with a full proposal. Upon invitation, full proposals will also be sent to the USAID missions or operating units for funding. See the APS for detailed instructions.

2. Is there a deadline for concept papers?

USAID will consider alliance concept papers as they come in. However, resources are limited and we expect a significant number of submissions. The earlier a concept paper is received the greater the chance that funding might be available.

3. When will USAID resources become available and over what period will disbursements occur?

For mission or WOU funding, it is anticipated that the funds may become available in late spring, depending upon timely appropriations and the negotiation stage of the procurement action. USAID expects that funded programs may last from 12 to 60 months.

4. Will USAID funding be available exclusively during 2008 or will it be disbursed over the timeline established for the project?

If an application is accepted, USAID will make an award to the institution proposing the alliance. The agreement officer negotiating the terms of the grant or cooperative agreement will determine with the grantee the appropriate timing for disbursement of funds from USAID. Most of USAID's programs are incrementally funded on a year-by-year basis until the award is fully funded.

5. Does the alliance have to be formalized at the time of application?

No, the alliance does not have to be formalized at the time of application, but the level of partner commitment will be evaluated. As discussed in the APS, each application will be evaluated on whether the alliance brings new actors to the table with proven track records in their particular area of expertise and experience working in partnership with others. In addition, the application should demonstrate the commitment of the partners and could include a draft letter of

intent that describes the roles, responsibilities, and contributions of each of the alliance partners. You may also choose to ask your partners to submit documentation of their intent to participate in the alliance. USAID recognizes that alliances may change over time.

6. Where do I submit a concept paper that is regional or involves more than one mission?

This depends on how many missions would be involved and if all missions are within a single region. In general, it is a good idea to submit individual concepts to missions of interest, though for those truly regional or global in scope, you may want to submit to the appropriate Regional Mission or WOU.

The Role of USAID

7. Will USAID only allocate resources for the alliance or will it form a part of the alliance?

The intention of these alliances is to create a different relationship between the partners. USAID intends to enter into true partnerships with other resource partners in carrying out developmental objectives. USAID's role will vary from alliance to alliance. Please see the APS for an illustrative list of USAID and partner responsibilities.

8. Does USAID perform the monitoring and evaluation of the project?

As discussed above, USAID's role will vary from alliance to alliance. USAID may be an active member of the alliance governing structure, or USAID may administer the award through the reporting done by the recipient (quarterly, semi-annually, or annually). The agreement may also call for annual work plans to clarify timing and matters involved in the implementation schedule. There may also be midterm and final evaluations. All of the above will be negotiated in the final terms of the award.

9. Is the agreement with USAID signed by all the members of the alliance or only with the lead partner?

Upon favorable review of the full proposal, partners including USAID will determine the appropriateness of signing a memorandum of understanding (MOU) or other document to finalize the roles and responsibilities of each alliance partner. The proposed lead recipient of USAID funds is the signing party to the award.

10. Some friends and I are thinking about starting a small general store in New Mexico. We are interested in getting a grant to help us start our business. Is this grant something that we can apply for?

USAID funding supports humanitarian and economic development programs overseas as part of U.S. foreign policy objectives. We recommend reviewing our website further at <http://www.usaid.gov/gda> to see whether the business you are developing intends to carry out work in any of the overseas program areas and locations noted. Competitive grant solicitations from our agency and all federal agencies are at <http://www.fedgrants.gov>. We do not fund the start-up of a U.S. business, but do support specific development programs overseas.

Funding

11. Are loans considered matching funding?

Consistent with the treatment of this issue in previous years, loans will **not** be counted as leverage under the GDA APS FY08. However, if an application includes a loan as part of the application, the existence of the loan might increase the feasibility of achieving the intended results of the alliance and therefore might be more likely to win an award over an application which did not have a loan. Additionally, an alliance with a loan might be evaluated to have better scalability.

12. What is the source of funds awarded for alliances under this APS?

The resources being awarded under this APS come from the budget of USAID missions and WOU's.

13. Alliances seek to leverage private resources. Can public resources be included in Alliances? Can they ever be counted as leverage?

Alliances can indeed include funding from a variety of sources, including other USG funds, funds from other donors (e.g.: the World Bank, or the UK Department for International Development), or host country governments. While USAID seeks to ensure that there is a 1:1 leverage of public to private funds, a smaller portion of private funds can be acceptable in a project that includes significant resources from other government sources.

14. Do the financial contributions from private partners have to be entirely in cash, or can they also be in the form of services, equipment, vehicles, etc.?

In-kind resources such as services, property, equipment, and supplies are valuable contributions. Alliance proposals must clearly specify what each party is contributing and indicate the cash value of in-kind support. Note that at least some portion of the leveraging must be in the form of cash. In-kind contributions should represent new resources available to and necessary for a project. Alliances

that offer quantifiable in-kind resources that a project would otherwise have to buy will be more competitive.

15. Does the cash contribution from alliance partners have to be made available at the beginning of the project or can the sums be allocated periodically if such a commitment is made among the partners?

The appropriate timing of contributions from partners may be proposed by the alliance partners, and it is acceptable for funds to be disbursed periodically over the length of the project.

16. If you are doing a regional program with individual countries contributing to a program, does an organization have to meet the 1:1 leveraging in each country or in the total aggregate of the grant?

You only have to meet the total leveraging in the aggregate of the award. Therefore, an alliance might have greater than 1:1 matching in some countries and less than this match in others.

17. It is difficult to launch new partnerships in a one-year time period. Could implementation of a program be extended over a second year with FY08 awarded funds?

Yes. Awards made in FY08 may be implemented in FY09. Any award under the FY08 APS can be for multiple years; awards under this solicitation can be made for up to 5 years.

Sector Specific Issues

18. Can food aid resources be used under the APS?

Title II resources are eligible for building alliances. Please send any concept papers to the point of contact in [Annex B](#). The Office of Food for Peace will also issue annual guidelines for Title II programs.

Forms and Eligibility

19. How do I propose a regional program? If I have a proposal dealing with regional or cross-country ideas, where should I submit the initial concept paper?

Concept papers that are regional should be submitted to the regional points of contacts listed in [Annex B](#) of the GDA APS.

20. Could you please send me the grant forms for this funding opportunity?

The only forms not specifically included in the APS are the SF424, 424a, and 424b for which a web site reference was included in the APS: <[http://contacts.gsa.gov/webforms.nsf/0/B835648D66D1B8F985256A72004C58C2/\\$file/sf424.pdf](http://contacts.gsa.gov/webforms.nsf/0/B835648D66D1B8F985256A72004C58C2/$file/sf424.pdf)>. NOT AT THIS ADDRESS All other items are to be supplied in a written manner in accordance with the instructions and with the items contained within the APS.

21. Could you send me any related information that will help us to understand what is required for the APS?

The best source for general information on public-private alliances is the GDA Secretariat webpage at USAID: <http://www.usaid.gov/gda> . Please review the APS and the GDA web site and then contact GDA with any specific questions you may have (see contact information provided in the APS).

22. We are a Land-Grant Institution; are we eligible to participate?

Your organization is able to submit an application. The universe of potential applicants is very broad. Please refer to the Eligibility and Proposal Criteria as there are requirements that all applications must meet.

23. Can an organization submit more than one application for this APS announcement?

Yes, an organization can submit as many applications as they wish. Please make sure that each is consistent with the guidelines set out in the APS.

24. The APS states that attachments should include a list of all contracts, grants, or cooperative agreements involving similar or related programs over the past three years. Is a list with the requested information acceptable, or should we also fill out Contractor Performance Reports for each program?

A list with the relevant information will be sufficient; you do not need to submit Contractor Performance Reports.

25. Which countries have priorities in agriculture, biosecurity, and/or disaster prevention projects?

For more information on country priorities, please review the individual mission websites at <http://www.usaid.gov/missions> . The APS appendices may also have information on specific country priorities.

26. The APS states that missions and bureaus may issue solicitations for their own particular alliance-building activities. Where can I find information on mission and bureau solicitations?

For other USAID competitive grant solicitations please refer to USAID postings at <http://www.fedgrants.gov> . Missions overseas and offices within USAID/Washington post their competitive solicitations at that site.

27. What is the procedure to develop proposals for a USAID non-presence country, such as Botswana?

The answer to this question will vary depending on the country. For many non-presence countries, the first step is to contact the mission that covers work in that country. In Botswana, that is the Regional Center for South Africa (http://www.usaid.gov/locations/sub-saharan_africa/countries/rcsa), which will be able to work with you to determine if your project fits with their objectives.

28. In the proposal we are developing, one of the proposed private sector partners is an Indian firm. How are non-U.S. partners viewed?

Non-US organizations can be alliance partners and can contribute resources to an alliance regardless of program location. If the alliance partner is also being proposed to be a recipient of USAID funds, then local firms within the proposed program country are usually acceptable. If a non-U.S. partner is being proposed as a recipient of USAID funds for a country program outside of its own country, then the decision will depend on the cognizant mission for the program.

29. Our organization is developing a partnership with a foundation and an NGO. At the time we submit our proposal, what type of documentation will we need from our funding and implementing partners?

Please see the list of suggested attachments of the APS, which includes a draft letter of intent that describes roles, responsibilities, and contributions of each of the alliance partners. You may also choose to ask your partners to submit documentation of their intent to participate in the alliance.

30. In the APS, are there any requirements regarding the hiring of volunteers to participate in our project?

No. The APS does discuss Volunteers for Prosperity, a volunteer-based initiative of the USA Freedom Corps designed to support major U.S. development initiatives overseas using the talents of highly skilled Americans who will work with U.S. organizations in countries around the world <http://www.volunteersforprosperity.gov>. Consistent with this, USAID encourages the utilization and integration of volunteers, including those participating in Volunteers for Prosperity, as they may be appropriate in your programs.

31. Does this APS include people with disabilities? Should applicants be addressing within their proposals how they will include this vulnerable population within their proposed program and activities?

Yes. The GDA follows the USAID's Disability Policy and policy directives which state that all of USAID funded programs will not discriminate against people with disabilities and will work to ensure the inclusion of people with disabilities in their program and activities. Implementing partners should address these issues within their proposals. In addition, all new construction and major renovations to existing infrastructure that are funded by USAID must be made accessible for people with disabilities. For more information, refer to the USAID disability website at: http://www.usaid.gov/about_usaid/disability/