

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

**Volunteers for International Security and Prosperity  
ANNUAL PROGRAM STATEMENT (APS)**

**APS No: APS-OAA-17-000001**

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**APS Summary**

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States government as represented by the U.S Agency for International Development (USAID), Bureau for Economic Growth, Education, and Environment (E3), invites concept papers from a wide variety of non-governmental and voluntary service organizations for assistance awards that achieve development impact in USAID focus areas through the inclusion of volunteers.

This [Annual Program Statement](#) (APS), entitled Volunteers for International Security and Prosperity (VISP), is a mechanism through which USAID will maximize development impact and efficient resource use by mobilizing the creative capacity of volunteers globally. Volunteers and the principle of volunteerism maximize USAID's development programs through bringing in non-traditional partners and new solutions and ideas, increasing peer-to-peer learning, building community, advancing diplomacy, and leveraging resources. Under the APS, USAID intends to support a variety of creative approaches towards the design and implementation of activities addressing USAID Operating Units' (OU) development objectives.

This APS offers USAID OUs (Mission, Bureau, or Independent Office) an easy-to-use mechanism to facilitate access to volunteers across any sector while upholding U.S. foreign policy objectives of promoting national security, advancing American values, and supporting global prosperity and self-reliance. It is designed to support a process through which organizations can work with USAID to achieve development impact via:

1. Increasing the number of volunteer-sponsoring organizations collaborating with the Agency;
2. Increasing the number of development sectors using volunteers;
3. Increasing the quality of services provided by volunteers supporting Agency objectives; and,
4. Increasing the understanding within the Agency of the positive role volunteers play in supporting Agency objectives.

The VISP APS is not a Request for Applications or a Request for Proposals. The VISP APS requests Concept Papers that substantively incorporate volunteers into context-appropriate activities that support the development objectives of a targeted USAID OU. USAID is looking to support activities that respond to an OU's strategy - a mission's Country Development Cooperation Strategy, a Bureau's Regional Development Cooperation Strategy, or an Independent Office's Strategy. Based on those Concept Papers, USAID OUs will determine whether to co-create an activity or set of activities with any applicant and then request a full application.

This APS is not supported by specific funds. Any funding for activities proposed under this APS will be requested from the specific USAID OU with which the applicant seeks to collaborate and to which the Concept Paper will be submitted.

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

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**Acronyms**

ADS - Automated Directives System  
AO - Agreement Officer  
AOR - Agreement Officer's Representative  
APS - Annual Program Statement  
CA – cooperative Agreement  
DUNS – Dun and Bradstreet Number  
E3 - Bureau for Economic Growth, Education, and Environment  
FAA – Fixed Amount Award  
NGO - Non-Governmental Organization  
OU – Operating Unit  
SAM - System for Award Management  
USAID - U.S Agency for International Development  
VISP - Volunteers for International Security and Prosperity

## **Section I Program Description**

Volunteer service is an American tradition. USAID's tagline "From the American People" aptly emphasizes that foreign assistance has always been driven by an American humanitarian concern to help others, as well as by foreign policy and economic interests. Volunteer technical assistance was seen as a valued element of U.S. foreign assistance from the early days of the Point Four Program and led to the establishment of the Peace Corps. In addition, under the Volunteers for Prosperity Executive Order issued by President George W. Bush on September 25, 2003, USAID was called to promote, expand, and enhance volunteer service opportunities for highly skilled U.S. professionals who wish to work with nongovernmental and voluntary service organizations around the world in support of major U.S. prosperity initiatives.

The VISP APS was created by USAID's Bureau for Economic Growth, Education, and Environment (E3) to help the Agency mobilize the creative capacity of volunteers through a grant program for volunteer-supported development activities that assist USAID OUs to achieve their strategic objectives, sector priorities and Agency mandates such as gender equality. This APS invites volunteer-utilizing organizations (that meet the eligibility requirements set forth in Section III below) to identify and suggest ways that they, through the use of volunteers, will address key challenges in the developing world in a manner that advances our mutual interests and achieves USAID development objectives.

**Understanding USAID priorities and objectives in the country where an applicant seeks to develop a volunteerism-centered program is one of the most important factors in being a successful applicant under the VISP APS.**

Interested applicants should research the priorities, objectives, and strategies of the OU from which they would like support (a Mission, a Regional Bureau, or an Independent Office) and reach out to the OU prior to submitting a Concept Paper. For OU points of contact, please email [visp-aps@usaid.gov](mailto:visp-aps@usaid.gov) and the Agreement Officer's Representative (AOR) will provide the name and contact information. **DO NOT SUBMIT CONCEPT PAPERS VIA GRANTS.GOV AS THEY WILL NOT BE ACCEPTED.** The purpose of contacting the OU is to discuss the organization's activity proposal and whether the OU is able and willing to support an award in the area of mutual interest and open to receiving a concept paper. This process will prevent applicants from investing time and resources in the creation of a concept paper that an OU may not have the ability to support. Concept papers must include a minimum of 30 percent level of effort from volunteers<sup>1</sup>, conform to the requirements outlined in Attachment A below, and be submitted via email to the appropriate OU and to [visp-aps@usaid.gov](mailto:visp-aps@usaid.gov) in accordance with procedures outlined in Section IV below.

Each USAID OU that expresses willingness to consider a concept paper will review the submission and determine whether to collaborate with the applicant to co-create an activity or set of activities and request a detailed full application. The submission of a concept paper under this APS helps USAID determine whether there is potential substantive and resource support for the concept before the prospective applicant invests significant time and resources in the development of a full application. Please note that the determination of potential substantive and resource support DOES NOT constitute a commitment to fund a subsequently submitted full application. The OU-applicant co-creation process enables holistic activity design, drawing on the knowledge of the people who will carry out the activities, enabling USAID to be a more effective development organization.

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<sup>1</sup> Please see Section V for details on how level of effort should be measured.

While this APS serves as a general solicitation for Volunteers for International Security and Prosperity concept papers, OUs may issue addenda throughout the year to solicit VISP concept papers related to their specific priorities, objectives, and programs. These addenda, when added, can be found at on Grants.gov under Operating Unit Addenda to the VISP APS.

Awards under this APS are subject to 2 CFR 700 and 2 CFR 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

## **Section II Federal Award Information**

*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.*

Award Discretion: USAID reserves the right to make or not to make awards through this APS. The actual number of assistance awards, if any, under this APS is subject to the availability of funds and the interests and requirements of OUs as well as the viability of eventual full applications received. There is no pre-defined minimum or maximum number of awards USAID OUs will support through this APS.

Funding Sources and Award Amounts: Awards made under this APS will be funded by the cognizant OU and are not limited to a minimum or maximum dollar value. Anticipated start dates and performance periods for new awards will be determined by the cognizant OU, conforming to policy outlined in USAID's [Automated Directives System \(ADS\), Series 300](#).

Awards will be assistance in nature and may be limited to Cooperative Agreements (CA) and Grants, or Fixed Amount Awards (FAA). No Leader with Associates Cooperative Agreements will be awarded under this APS. The awarding OU, in consultation with the apparently successful applicant, will decide on the appropriate assistance mechanism. Subawards made under assistance mechanisms arising from this APS shall be in accordance with the guidance regarding subcontracts, subagreements and subgrants found in 2 CFR 200 & 700. Construction activities implemented under a CA shall be in accordance with ADS 303 and 303maw [USAID Implementation of Construction Activities](#).

Should a cooperative agreement be chosen as the appropriate mechanism, USAID's involvement during the award will be to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in a cooperative agreement in the following ways: a) Approval of key personnel and any subsequent changes in the positions during the life of the award; b) Approval of the recipient's annual work plans and monitoring and evaluation plan, and; c) Agency collaboration/participation, if any, as described in ADS 303.3.11(c). In addition, in keeping with 22 CFR 226.25, the recipient is required to obtain the Agreement Officer's prior approval for the subaward, transfer, or contracting out of any work under an award.

Issuance Period: This 2017 VISP APS seeks concept papers and if invited, full applications on an ongoing basis through August 29, 2018. If USAID requests a full application in response to a concept paper submitted under this 2017 VISP APS, USAID has until August 29 of the following fiscal year in which the concept paper was submitted to make the request. Concept papers and/or full applications received under this APS, but not negotiated and awarded prior to the end of the fiscal year in which they are received, may be considered for award within the following fiscal year. It is expected that the programs supported by a proposed concept will have a period of performance from 12 to 60 months.

### **Section III Organization Eligibility Information**

USAID welcomes concept papers from any type of organization that has the capability to carry out international development programs utilizing volunteers. While not an exhaustive list and provided for illustrative purposes only, the following types of organizations are encouraged to participate: U.S. and non-U.S. Non-Governmental Organizations (NGOs), faith-based organizations, foundations, cooperatives, international organizations, U.S. and non-U.S. colleges and universities, civic groups, regional organizations, U.S. and non-U.S. private businesses, and business/trade associations. USAID encourages applications from potential new partners. All applicants must be legally recognized organizational entities under applicable law. An individual cannot apply.

In addition, for the following groups the criteria below also apply:

- **U.S. and Non-U.S. For-Profit Organizations:** In accordance with 2 CFR 200.400, potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under assistance instruments, and 2 CFR 200.101 states that, unless specifically excluded, all requirements applying to recipients also apply to sub-recipients if they meet the definition of “recipients”; therefore, fee/profit under assistance type awards is also prohibited for sub-recipients. Forgone profit does not qualify as cost-sharing or leveraging. If a prime recipient has a subcontract 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 subcontractor is authorized.
- **U.S. and Non-U.S. Colleges and Universities:** Qualified U.S. and non-U.S. colleges and universities may apply for 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.

There are no limits on the number of awards that may be made by USAID OUs under this APS to a single organization. Similarly, there are no limits on the number of concept papers an organization may submit under this APS to USAID OUs worldwide. That said, as described in Section I above, all prospective applicants are required to obtain consent from the cognizant OU POC prior to concept paper submission. If an OU POC does not consent to review a concept paper proposed by a prospective applicant, the OU POC will provide a detailed explanation of the reasons why the concept paper will not be considered at that time.

#### **Volunteer Level of Effort**

All submissions must include a minimum of 30 percent volunteer level of effort. A 30 percent volunteer level of effort is met if the fair market value of the volunteer effort is at least 30 percent of total labor, including salaries and benefits, required for performance of the award. If a fixed amount award is the chosen mechanism, the 30 percent minimum will be assessed by USAID in calculating payments for milestones, and milestones will include a minimum number of labor hours. The entity receiving an award from USAID under this APS to implement activities including volunteers is responsible for ensuring, tracking and reporting on the mobilization and use of volunteers. USAID expects the award recipient to provide such information in the format outlined in the Volunteer Level of Effort form, Attachment F, on a quarterly basis across each fiscal year along with an annual summary.

The utilization of U.S. volunteers is encouraged in all programs, but is required for programs and activities that fall under the initiatives of the Volunteers for Prosperity Executive Order 13317.

Labor contributed to the program directly by the U.S. Government, USAID intermediaries, or foreign governments will not be considered as a volunteer contribution, but should be identified as sources in the overall budget if it is critical to the program.

**Cost-share**

While the 30 percent volunteer level of effort is a program requirement and not considered as a cost-share, additional contributions of labor or resources, including private sector contributions, may be considered as cost-share, are very desirable, and are considered in the Technical Evaluation Criteria, under Part C, Sustainability of Results, in Section V of this APS.

## **Section IV Application and Submission Information**

**Step 1:** Interested applicants research the priorities, objectives, and strategies of the OU from which they would like support and contact the point person provided by the AOR at [visp-aps@usaid.gov](mailto:visp-aps@usaid.gov).

**Step 2:** The OU informs the applicant whether the OU is able and willing to support an award in the area of mutual interest and open to receiving a concept paper.

**Step 3:** The applicant submits a concept paper via email to the OU with a copy to [visp-aps@usaid.gov](mailto:visp-aps@usaid.gov), following the format and instructions in Attachment A. Applicants should ONLY submit the information and materials specified in the template. Concept papers submitted in any other format will not be accepted or reviewed. Applicants cannot submit any alternative document or narrative as a substitute for a concept paper. In addition, and as noted in the Concept Paper Format and Instructions in Attachment A, all concept papers MUST be in English.

The OU responds with a confirmation receipt and a date (within the following 90 days) when the applicant will be informed whether they have been chosen to co-create a full application with the OU. Concept papers are reviewed based upon the criteria outlined in Section V below.

**Step 4:** The applicant is contacted by an Agreement Officer (AO) and given a due date for the full application and cost application.

**Step 5:** The applicant collaborates with the OU and drafts the full application, following the format in Attachment B.

**Step 6:** The applicant prepares a cost application consisting of the [U.S. Government Standard Form 424 series](#)<sup>2</sup>, Parts 2-5 of ADS 303.3.8 [USAID Assistance Award Certifications, Assurances, Other Statements of the Recipient](#), and an electronic copy of a budget. Attachment C contains cost application details and links to the forms required. Awards under this APS will not allow the reimbursement of pre-award costs.

At this time, each applicant<sup>3</sup> is required to:

- Be registered in the Federal Government's [System for Award Management](#) (SAM) before submitting its full-application (Please allow several weeks for processing through SAM.GOV.);
- Provide a valid Dun and Bradstreet Number ([DUNS](#)) in the full application and in the cost application (SF-424); and
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

To obtain information regarding the preceding, see the respective links:

<https://www.sam.gov/portal/public/SAM/> and <http://www.dnb.com>.

USAID may not make an award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the

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<sup>2</sup> SF-424, Application for Federal Assistance; SF-424A, Budget Information – Non-construction Programs; SF-424B, Assurances – Non-construction Programs

<sup>3</sup> Unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)

time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

**Step 7:** The applicant submits the full application and cost application via email by the due date specified in Step 4. Should the applicant experience technical difficulties in the submission process, the applicant should consult the OU POC and AO for instructions.

**Step 8:** The full application and cost application are reviewed by a Technical Evaluation Committee in the OU.

**Step 9:** The applicant is informed by the AO that they are apparently successful and all other pre-award requirements are conveyed. Additional negotiations regarding the technical and cost applications may be necessary.

All first-time applicants for USAID funding that are deemed apparently successful are subject to a pre-award survey to verify that the applicant has proper procedures in place to receive USAID funding. Please see ADS 303.3.8 and ADS 303.3.9.

**Step 10:** The AO covering the award for the OU sends an email to the applicant containing the award document.

**Step 11:** The awardee's legal representative signs the award and returns it to the AO for their signature.

For general questions about this APS, please contact the issuing Agreement Officer at [mcourtad@usaid.gov](mailto:mcourtad@usaid.gov).

## **Section V Concept Paper and Full Application Review Criteria**

Any concept paper and thus any associated full application submitted under this APS should propose an activity or set of activities that include a minimum of 30 percent volunteer level of effort. Concept papers and full applications that do not meet or exceed the 30 percent volunteerism requirement will not be considered.

### **OVERVIEW**

The criteria presented below have been tailored to the requirements of this particular APS. Applicants should note that these criteria serve to (a) identify the significant matters which Applicants should address in their concept papers and full applications, and (b) set the standard against which all applications will be evaluated.

Concept papers will be evaluated in accordance with the Merit Review Criteria set forth below and any other criteria deemed appropriate by the cognizant OU. Thereafter, the cost application requested in conjunction with a full application will be evaluated for reasonableness, allowability, and allocability. While technical criteria are paramount, cost considerations may also be a factor for award.

The concept paper must be directly responsive to the terms, conditions, guidelines and provisions of this APS to be assured for consideration. Concept papers not conforming to this APS may be categorized as not meeting the minimum requirements of the Government, thereby eliminating them from further consideration.

Applicants are reminded that the U.S. Government is not obligated to make an award on the basis of lowest proposed cost or to the applicant with the highest technical evaluation score. The Agreement Officer will make award to the applicants whose applications are judged to be the most advantageous in accomplishing USAID's foreign assistance objectives. Programmatic diversity as well as other USG strategic and policy priorities will also be taken under consideration in making final award decisions.

### **COST EVALUATION CRITERIA**

Full applications (which an applicant must be invited by an OU to submit) must include a budget and budget narrative that details the total costs for full implementation of the proposed program and explains all contemplated costs. The budget should clearly show how funds will be used to support the activities proposed in the application's Technical Narrative. The budget should display unit costs (if applicable) and costs by year; and include sub-budgets for each component. Suggested line items include, but are not limited to: personnel, fringe benefits, office rent, utilities, equipment, communications, local travel, program expenses and sub-awards.

The budget and budget narrative will not be scored; however, they will be evaluated for cost effectiveness and realism. This will consist of a review of the cost portion of an application for the work to be performed, to determine whether the costs reflect that the Applicant understands the requirements of the APS, and whether the costs are consistent with the technical application.

### **MERIT REVIEW CRITERIA**

The merit review criteria below will be used to review and evaluate concept papers and may be used by the cognizant OU to evaluate full applications submitted under this APS. Criteria A is weighted at 50 percent and Criteria B and C are weighted at 25 percent each.

**A. Alignment with OU's Strategic Objectives and Programming Priorities and Achievement of Development Impact**

The extent to which the proposed activities align with the targeted OU's strategic plan (including Country Development Cooperation Strategies) and programming priorities.

How the proposed approach and activities will lead to the anticipated outputs, outcomes, results, and impacts.

How the proposed approach will integrate issues of gender equality and female empowerment through program design, implementation, and staffing.

How the anticipated outputs, outcomes, results and impacts from the activity or activities will clearly and significantly contribute to achieving the OU's development objectives, intermediate objectives, or goals.

How the applicant and partners' experience and success in implementing similar interventions demonstrates a high probability of success under this APS.

**B. Strategic Utilization of Volunteers**

How the utilization of volunteers will increase the efficiency, effectiveness, reach, or sustainable impact of the activities.

The expected gender balance in overall volunteer staffing.

The extent to which the minimum of 30 percent volunteer level of effort is met and/or exceeded.

Activities that fall under the initiatives of the Volunteers for Prosperity Executive Order 13317 are required to include volunteers from the U.S.

**C. Sustainability of Results**

How the outcomes, results, and impacts, as well as any activities that need to continue beyond the duration of a USAID award, will be sustainable without continued USAID funding or involvement after the award ends. This may include the engagement and strengthening of the human and institutional capacity of local partners and local beneficiary organizations (private, non-profit, public). This may also include the connections to and contribution of resources from non-U.S. government development actors, especially in the private sector in-country.

## **Section VI Federal Award and Administration Information**

Once an applicant's full application is considered "apparently successful", the cognizant AO will convey via email the next steps in the pre-award process. These next steps depend on the status of the applicant (e.g. new to USAID) and the type of award being considered. If at any time in the pre-award process the applicant is deemed unsuccessful, they will be notified via email and provided with the reasoning supporting the decision. Requests for additional information may be considered by the AO.

### **Pre-Award Responsibility Determination and Risk Assessment**

Upon consideration of award or during the discussions leading to an award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative or negative determination of responsibility.

**IMPORTANT** - Applicants should **not** submit the information below with their concept paper.

The information in this section is provided so that applicants may become familiar with additional documentation that may be requested by the Agreement Officer before award in order to make the responsibility determination.

These documents may include, but are not limited to:

1. Audited financial statements for the past three years that have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. Bylaws, constitution, and articles of incorporation, if applicable;
3. Copies of organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., and an indication whether such policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, the Agreement Officer may request the name, address, and phone number of the cognizant reviewing official;
4. Other documentation, as required by the Agreement Officer, to substantiate that the applicant:
  - Has adequate financial resources or the ability to obtain such resources as required during the performance of the Cooperative Agreement;
  - Has the ability to comply with the award terms and conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
  - Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
  - Has a satisfactory record of integrity and business ethics; and,

- Is otherwise qualified and eligible to receive a Cooperative Agreement/Grant under applicable laws and regulations (e.g., Equal Employment Opportunity Laws).

An award may only be made by the cognizant AO upon his/her signature and only after she/he makes a positive responsibility determination that the apparently successful applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs, and specifically the proposed program, and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to working with USAID or for organizations with outstanding audit findings, or otherwise at USAID's discretion, USAID may perform a pre-award survey to assess the Applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, Applicants must prepare, in advance, the required information and documents. See ADS 303.3.9.1 for more information on pre-award surveys. Please note that a pre-award survey does not commit USAID to make any award.

### **Award Administration**

All awards under this APS will be administered by the cognizant AO for the OU under which the award will be made and the standard USAID assistance award provisions, listed in Attachment E, apply. For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa [Standard Provisions for U.S. Non-governmental Organizations](#) are applicable. For non-U.S. organizations, ADS 303mab [Standard Provisions for Non-U.S. Non-governmental Organizations](#) will apply.

### **Reporting**

Award recipients will be required to submit a work plan inclusive of a monitoring and evaluation plan (M&E), quarterly progress-to-date reports, including the Volunteer Level of Effort form, Attachment F, quarterly financial reports, detailed annual reports, and a final end-of-project report. The work plan will be aligned with the goals of the recipient's program description and clearly map to the expected results.

The awardee will submit the required reports in accordance with the requirements set forth in the final obligating document via email to the cognizant AO, which shall include sex-disaggregated data for implementation and staffing. The timing, format and other instructions will be codified in the award document and reviewed with the award recipient by the AO at the time of award.

The entity receiving an award from USAID under this APS to implement activities including volunteers is responsible for ensuring, tracking, and reporting on the mobilization and use of volunteers. USAID expects the award recipient to provide such information in their quarterly reports, in their detailed annual reports, and in their final end of project report. In addition, it is the award recipient's responsibility to submit an electronic copy of all final reports to USAID's Development Experience Clearinghouse.

### **Program Income**

Non-profit Organizations - If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to USAID funding (and any cost-sharing that may be provided), and used for program purposes. Program income will be subject to 2 CFR 200.307 for U.S. non-governmental organizations or the Standard Provision entitled "Program Income" for non-U.S. non-governmental organizations.

For-profit Organizations - Pursuant to 2 CFR 200.307, 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 USAID funding. Program income will be subject to 2 CFR 200.307 for U.S. NGOs or the Standard Provision entitled “Program Income” for non-U.S. NGOs.

### **Volunteers for Prosperity**

In accordance with ADS 303.3.6.2(d), applicants are required to include and OUs are required to review the use of highly-skilled U.S. volunteers when undertaking activities to be implemented abroad under the following initiatives:

- Emergency Plan for AIDS Relief
- Digital Freedom Initiative
- Water for the Poor Initiative
- Trade for African Development and Enterprise Initiative
- Middle East Partnership Initiative
- President’s Malaria Initiative

### **Environmental Protection and Compliance**

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (ADS 204) and in USAID’s [ADS Parts 201.5.10g and 204](#), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

No activity funded hereunder will be implemented unless an environmental threshold determination, as defined ADS 204, has been reached for that activity, as documented in a Request for Categorical Exclusion, Initial Environmental Examination, or Environmental Assessment duly signed by the Mission Environment Officer and/or Bureau Environmental Officer. Subsequently, over the Life of the Activity, these environmental mitigation measures are to be a standard component of program management. Successful applicants will be advised by USAID how to satisfy these requirements.

### **Gender Analysis and Integration**

In accordance with USAID’s [Gender Equality and Female Empowerment Policy](#), each activity must identify and address any gender gaps relevant to the implementation of the activity. Successful applicants submit proposed gender integration plans based upon existing gender analyses of the relevant OU, if available; if not available, or if preferred, applicants may utilize a preliminary gender analysis for purposes of application. Upon award, successful applicants must update the gender analysis for the specific development activities to be implemented, and update the gender integration plan. Applicants should seek to promote gender balance in their staffing plans and should ensure that volunteers have sufficient gender expertise to identify and address gender issues.

### **Authorized Geographic Code**

Due to federal regulations, there are restrictions on the location where recipients can purchase items funded by USAID. These rules do not apply to procurement by the recipient with cost-sharing or program income funds.

The anticipated geographic code to be included in the full application for all standard assistance awards is code 937, which includes the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source.

For more information on authorized geographic code, please see [ADS 310](#).

### **Statutory and Regulatory Certifications**

Pursuant to ADS 303.3.8, an award recipient will be required to sign and provide to USAID an executed set of Certifications and Representations prior to award. The AO will request the requisite documentation from the successful Applicant at the time determined appropriate to do so. These required documents are located at ADS 303 may [Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions](#).

### **Branding and Marking Plan**

Applicants are requested to note in their full application that in accordance with 2 CFR 700.16, USAID requires the submission of a Branding Strategy and a Marking Plan prior to award. The Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.16. The AO will request the Branding Strategy and Marking Plan from the successful applicant at the time determined appropriate to do so. The AO evaluates the Branding Strategy and Marking Plan (including any requests for exceptions) for approval consistent with the regulations contained in 2 CFR 700.16, ADS 303 and [ADS 320](#).

**Attachment A: Concept Paper Format and Instructions**

The concept paper and supporting information must use the format described below and be submitted to the POC at the USAID OU from which the applicant seeks to have an award as well as copied to the AOR at visp-aps.usaid.gov.

The main body of the concept paper must not exceed five pages single spaced and must use standard margins and 12pt Times New Roman font. The main body includes Sections I and II below.

The required supporting information, described in Section III below, must not exceed 6 pages.

**SECTION I - SUMMARY INFORMATION**

A. Name and Contact Information of Applicant

B. Title of Proposed Activity

C. Overall Objective of Activity (1-2 sentences)

D. Name and Contact Information for Other Partner Organizations Collaborating on Award (if any)

E. Name of the USAID OU to which this application is submitted

F. Amount of Funding Requested from USAID \$ \_\_\_\_\_

G. Value of Anticipated Volunteer Component (Must be at least 30% of total labor)  
\$ \_\_\_\_\_

*(Note: As discussed in the APS, a minimum of 30% LOE from volunteers is required.)*

**SECTION II – DESCRIPTION OF ACTIVITY**

A. Description of Proposed Activity

Clearly identify and describe the development problem or challenge to be addressed and provide a thorough description of:

1. The project objectives;
2. The proposed approach and activities, including implementation timeline and gender integration plan;
3. The anticipated outputs, outcomes, results and impact;
4. How the proposed activity will clearly and significantly contribute to achieving a USAID Mission, Bureau or Independent Office’s specific strategic objectives or priorities;
5. The roles and responsibilities of partners, if any. This must include a description of the role of each partner, and how the partner’s involvement, expertise and resource contributions will support specific program activities and contribute to particular outputs, outcomes, results and intended impacts;

6. How utilization of volunteers will increase the reach, efficiency, effectiveness or sustainable impact of USAID's development assistance; and,
7. How the outcomes and results, as well as any activities that need to continue beyond the duration of a USAID award, will be sustainable without continued USAID funding or involvement after the award ends.

**B. Volunteer Engagement (1-2 paragraphs)**

Engagement of volunteers is a key requirement under the VISP APS. This portion of the concept paper should describe how the applicant will utilize volunteers.

*(Note: If applicant cannot articulate robust engagement of volunteers as described in the VISP APS, the applicant should not submit a concept paper.)*

**C. Monitoring and Evaluation Approach (1-2 paragraphs)**

Provide a brief description of the monitoring and evaluation approach to be used. Include how success will be defined, the availability of baseline data, the use of control groups, the use of sex-disaggregated data, or the definition and development of comparison groups and counterfactuals.

**SECTION III – SUPPORTING INFORMATION (six pages)**

**A. Proposed Estimated Cost and Cost Breakdown (1-page maximum)**

This should include proposed budget and projections.

**B. Letter(s) of Support or Commitment from Partner(s), if any.**

Applicant must submit letters of support and commitment from any named partner(s) to the program. The letter should identify the interests the partner has in the program, the ways in which all partners were engaged in developing the program, the role and responsibilities the partner anticipates having in the program, and the resources and contributions the partner plans to provide.

**C. Contact Information for Proposed Partners (1-page maximum)**

Provide contact information for all partners (private, public, civil society, university, etc.). Include name, title, email and phone numbers and a brief description of each prospective partner's previous work and experience, including any experience with gender issues. This includes the applicant's previous work and experience.

## **Attachment B – Full Application Format and Instructions**

### **NOTE: THIS ATTACHMENT IS ONLY FOR THOSE WHO ARE INVITED BY USAID TO SUBMIT A FULL APPLICATION**

The following standard technical application may be used for the majority of assistance awards made under this APS but alternative formats may be used at the discretion of the cognizant AO should a grant or Fixed Amount Award be chosen as the appropriate mechanism/instrument.

A full application will have the following sections, which expand on the information provided in the concept paper, and must conform to the following page limits:

- Cover Pages (limit two pages);
- Program Description (limit five pages);
- Management Plan (limit one page);
- Résumés of up to three key personnel (limit one page each);
- Implementation, Monitoring and Evaluation Plan (limit two pages);
- Branding and Marking Plan;
- Past Performance Information.

### **TECHNICAL APPLICATION STANDARD ASSISTANCE AWARD**

#### **TECHNICAL APPLICATION COVER PAGE (LIMIT 2 PAGES)**

The technical application cover page must conform to requirements stated in Attachment D of this APS.

#### **PROGRAM DESCRIPTION (LIMIT 5 PAGES)**

This section must address the requested information specified in the concept paper but should include more detailed information about program participants, specific geographic location, time frames of program implementation, and more comprehensive description of program activities.

In addition, applications should address USAID's policies related to gender equality and female empowerment.

**MANAGEMENT PLAN (*one page*):** In addition to the information requested for the Concept Paper (Attachment A), the Management Plan for the Full Application should clearly present the Applicant's management and administrative arrangements to oversee execution of the proposed activities; organizational structure; logistical support; gender balance, functions and responsibilities of key personnel and other staff, including any sub-awards; and management and evaluation of USAID award compliance. The Management Plan should also include a brief description of the organizational history and experience of the Applicant and proposed sub-partner organization(s) (if applicable).

**KEY PERSONNEL (*up to three pages*):** In addition to the information requested for the concept paper (Attachment A), the Key Personnel for the Full Application should clearly identify key persons (those whose participation in the proposed activities is considered essential) by name and position, and quantified according to the level of effort planned under each activity area presented in the application. Résumés for each key person must not exceed one page in length, and must be in chronological order starting with most recent experience. Each résumé must be accompanied by a SIGNED letter of a commitment from each individual indicating his/her (a) availability to serve in the stated position and for

the stated term of service; and (b) agreement to the compensation levels as set forth in the Cost application.

**IMPLEMENTATION PLAN, MONITORING & EVALUATION PLAN *(limit two pages)***

As part of the Full Application, the Applicant must provide a Monitoring, Evaluation and Implementation plan that outlines proposed activities and timelines for the program, with increased detail provided for the first year. The plan must explain how activities will be sequenced, monitored and subsequently evaluated, and how they will address gender gaps. The plan should identify activity outputs (with targets and indicators) and outcomes (with indicators and targets) that correspond to the overall program level impact. Outputs and outcomes should include gender targets and indicators. For each indicator, Applicants must describe data collection methods, data quality assurances (if applicable), and indicator reporting timelines. All participant data should be sex-disaggregated where appropriate.

**BRANDING STRATEGY AND MARKING PLAN**

Applicants are requested to note that in accordance with 2 CFR 700.16, USAID requires the submission of a Branding Strategy and a Marking Plan by the “apparently successful applicant.” The apparently successful Applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.16. The AO evaluates the apparently successful applicant’s Branding Strategy and Marking Plan (including any requests for exceptions) for approval consistent with the regulations contained in AAPD 05-11, 2 CFR 700.16, and ADS 320.

## **Attachment C – Cost Application Details and Links**

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

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

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

1. SF-424 forms which can be found online at <https://grants.gov/web/grants/forms/sf-424-family.html#sortBy=1>. If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.
2. Parts 2-5 of the Certifications, Assurances, Other Statements which can be found at <http://www.usaid.gov/ads/policy/300/303may>
3. An electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word). The Applicant's proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
4. If the Applicant is a consortium, the cost application must include documents that reflect the legal relationship among the parties. The documents should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.
5. The cost application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.
6. Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:
  - a. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
  - b. The breakdown of all costs according to each partner organization involved in the program;
  - c. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
  - d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the award;

- e. Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
- f. Procurement plan for commodities if needed (although not encouraged); and
- g. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.

7. Applicants must provide the following cost element details:

- a. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
- b. Fringe Benefits – These benefits are non-wage compensation that an organization can provide to its employees in addition to their salaries. If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
- c. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed program description, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per diem calculations on current, published U.S. Government per diem rates for the localities concerned. Applicants may not use USAID funding to travel to conferences and international meetings unless expressly approved by the USAID AOR.
- d. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
- e. Indirect Costs – These are costs that are incurred by an organization overall but that cannot be attributed directly to a specific project it is working on. The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

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

**Attachment D USAID Assistance Award Standard Provisions, Key Websites, Applicable References and Regulations**

- Agency Initiatives and Priorities

<http://www.usaid.gov/what-we-do>

<http://www.usaid.gov/where-we-work>

[https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy\\_0.pdf](https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf).

- Mission Priorities, Programs and Points of Contact

<https://www.usaid.gov/work-usaid/get-grant-or-contract/opportunities-funding/global-development-alliance-annual-program-mission>

- Data Universal Numbering System (DUNS) / Systems for Award Management (SAM)

<http://www.dnb.com> and <https://www.sam.gov/portal/public/SAM/>

- Mandatory Standard Provisions for U.S. Nongovernmental Recipients

<https://www.usaid.gov/ads/policy/300/303maa>

- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients

<https://www.usaid.gov/ads/policy/300/303mab>

- 2 CFR 200

<https://www.gpo.gov/fdsys/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>.

- OMB Circulars A-110 and A-122

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

- ADS Series 300 Acquisition and Assistance

<https://www.usaid.gov/who-we-are/agency-policy/series-300>

- SF-424 Downloads and SF-425 Downloads

<http://apply07.grants.gov/apply/FormLinks?family=15>

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf) and

[http://www.whitehouse.gov/sites/default/files/omb/grants/standard\\_forms/SF-425\\_instructions.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf)

- Governing Regulations, Standard Provisions and Required Certifications at Time of Award

<http://www.usaid.gov/sites/default/files/documents/1868/303.pdf>

- Guidance for Proposals Involving a Partial Credit Guarantee

<http://www.usaid.gov/what-we-do/economic-growth-and-trade/development-credit-authority-putting-local-wealth-work>

**Attachment E - Volunteer Level of Effort Tracking Sheet**

(Attachment E is available as a separate document)

Under the VISP APS all submissions must include a minimum of 30% volunteer level of effort.							
A 30% volunteer level of effort is defined as 30% of total labor, including salaries and benefits.							
<b>Total and Volunteer Labor Level of Effort in Dollars</b>							
Quarter	Total LOE	Volunteer LOE	Volunteer Male	Volunteer Female	Percent Volunteer LOE	Volunteer US	Volunteer Non-US
Q1 LOE (\$)							
Q2 LOE (\$)							
Q3 LOE (\$)							
Q4 LOE (\$)							
<b>Total</b>							
This table should capture the volunteer and total labor level of effort, in dollars, for each quarter. Volunteer LOE should be gender and US/Non-US disaggregated. Percent Volunteer LOE is Volunteer LOE divided by Total LOE.							
<b>Total and Volunteer Labor Level of Effort in Days</b>							
Quarter	Total Labor Days	Volunteer Days	Volunteer Male	Volunteer Female	Percent Volunteer LOE	Volunteer US	Volunteer Non-US
Q1 LOE (Days)							
Q2 LOE (Days)							
Q3 LOE (Days)							
Q4 LOE (Days)							
<b>Total</b>							
This table should capture the volunteer and total labor level of effort, in days, for each quarter. Volunteer LOE should be gender and US/Non-US disaggregated. Percent Volunteer LOE in days is Volunteer days divided by Total Labor Days.							
<b>Number of Volunteers</b>				<input type="checkbox"/> Falls under Volunteers for Prosperity Executive Order			
Quarter	Number of Volunteers	Male	Female	Volunteer US	Volunteer Non-US	This checkbox indicates that it applies to one of the following initiatives: <b>Volunteers for Prosperity</b> In accordance with ADS 303.3.6.2(d), applicants are required to include and OUs are required to review the use of highly-skilled U.S. volunteers when undertaking activities to be implemented abroad under the following initiatives: <a href="#">Emergency Plan for AIDS Relief</a> <a href="#">Digital Freedom Initiative</a> <a href="#">Water for the Poor Initiative</a> <a href="#">Trade for African Development and Enterprise Initiative</a> <a href="#">Middle East Partnership Initiative</a>	
Q1							
Q2							
Q3							
<b>Total</b>							
This table should capture the number of volunteers, by quarter, utilized by the program. The table also disaggregates the number of volunteers by gender and US/Non-US							

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