

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

**REQUEST FOR APPLICATIONS  
RFA No. GDA-04-001**

**PUBLIC PRIVATE ALLIANCES  
IN**

- A) AGRICULTURE**
- B) ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- C) CONFLICT/ RELIEF, HUMANITARIAN ASSISTANCE, AND DISASTER  
MANAGEMENT**
- D) ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- E) EDUCATION**
- F) ENVIRONMENT/ENERGY**
- G) HEALTH**
- H) INFORMATION TECHNOLOGY**

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Ladies/Gentlemen:

Recognizing the need to expand the impact of foreign assistance, the Global Development Alliance Secretariat of the United States Agency for International Development (USAID) invites interest from prospective partner organizations to form public-private 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, individual and group philanthropies/funds etc. **Successful proposals will bring at least a one-to-one resource match to focus on international development activities within USAID's manageable interest.**

## **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, 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, US universities and colleges, and bilateral and multilateral donor agencies. In 2001, USAID launched the Global Development Alliance (GDA) to extend this concept further by, first, increasing the range of prospective partners to include private business, 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 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 new 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. (See [Annex A](#) for a listing of USAID Mission Presence Countries).
- 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 ratio with at least some portion of the leverage in the form of cash.** The partner contribution must include private (meaning non-governmental) resources at least equal to 25% of the value of the expected USAID resources. In addition to monetary contributions, in-kind resources such as services, property, 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.
- While alliance proposals must specify what each party is contributing at the outset, it is also recognized that lasting alliances are living, changing entities. 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 with USAID funding are expected to operate in countries where USAID has field missions and to fit within the strategic objectives of these missions and/or the appropriate Washington operating unit. However, broad, multi-country alliances that are addressing priority development issues may operate in countries where USAID does not have a field mission.
- 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 development results.
- Alliances should not simply 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 is not one of traditional grant relationships.
- It is important to exercise due diligence before entering into alliance arrangements. To

ensure that the interests of all alliance partners are protected, the track record, the objectives, and reputations of all alliance partners need to be examined.

- 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.

Please refer to the GDA website at <http://www.usaid.gov/gda> for more information about the history and objectives of this initiative. In addition, the website has GDA's "Tools for Alliance Builders" ([http://www.usaid.gov/our\\_work/global\\_partnerships/gda/tab.doc](http://www.usaid.gov/our_work/global_partnerships/gda/tab.doc)) that contains in-depth information to assist in the due diligence process, as well as mechanisms and approaches to alliance formation. Also for your reference, USAID recently published a brochure on the Global Development Alliance that provides examples of recent alliances ([http://www.usaid.gov/our\\_work/global\\_partnerships/gda/pnact008compliant.pdf](http://www.usaid.gov/our_work/global_partnerships/gda/pnact008compliant.pdf)).

Please also refer to <http://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 the GDA's APS in Fiscal Year 2003**

The GDA Secretariat welcomes alliance ideas from new applicants. For those who submitted proposals under the 2003 GDA Annual Program Statement (APS), please note the following changes:

- Prospective alliances must seek field mission or Washington operating unit input prior to submitting the proposal (see [Annex E](#) for Mission Points of Contact). In order for a proposal to be considered, the extent of contact must be documented using the form in [Annex F](#)).
- The minimum financial contribution sought from USAID is increased to \$300,000.
- Alliances that leverage outside resources at 2:1 (with at least some portion of the leveraging in cash) are preferred.
- The two-step process, which required an initial concept paper, has been eliminated and a one-step process will be followed.

#### **B. Sectors and Program Objectives**

This Request for Applications (RFA) seeks to support multiple activities that will be quick to start and responsive to critical developmental needs. USAID field missions and Washington

operating units may also use this RFA by referring potential applicants to submit under this announcement to the GDA Secretariat as indicated herein.

**Missions and bureaus may issue solicitations for their particular alliance-building activities and may advise interested applicants of an alternate process for any direct submittals to them.** Alliance activities eligible for specific bureau funding made outside of this RFA may require different criteria than those listed in this RFA. ***Proposals submitted under this RFA will be evaluated based on the criteria contained herein.*** For example, the Europe and Eurasia Bureau (E&E) will be working with its missions to fund public-private alliances through the use of an internal incentive fund that will provide resources to missions that bring forward alliance proposals. For Fiscal Year (FY) 2004, the E&E Bureau expects to establish public-private alliances that address the complex development issues of their region, support mission program objectives, and present the best chance for legacy mechanisms to be institutionalized. Organizations interested in forming alliances in E&E countries that might qualify for mission incentive fund support should begin by contacting and discussing their alliance idea with the appropriate E&E mission(s). The deadline for E&E mission submission to USAID/Washington is February 2004. Please contact Gary Imhoff at (202) 712-4666 or gimhoff@usaid.gov for more information.

The sectors listed below represent the areas that will be considered for award under this RFA for alliances:

- **AGRICULTURE**
- **ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY STRENGTHENING**
- **CONFLICT/ RELIEF, HUMANITARIAN ASSISTANCE, AND DISASTER MANANAGEMENT**
- **ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**
- **EDUCATION<sup>1</sup>**
- **ENVIRONMENT/ENERGY**
- **HEALTH<sup>2</sup>**
- **INFORMATION TECHNOLOGY**

Please see [Annex B](#) for a full discussion of the priorities within these sectors and programmatic activities where USAID seeks to develop public-private alliances.

## **II. Purpose of RFA and Qualifying Criteria for Prospective Alliances**

USAID reserves the right to make multiple grants or no awards through this RFA. ***This RFA seeks public-private alliance proposals for funding in Fiscal Year (FY) 2004 only, although proposals should contemplate an alliance that continues beyond FY 2004.*** Under this RFA, USAID's GDA Secretariat solicits proposals from organizations that are interested in entering

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<sup>1</sup> Particularly for girls and women.

<sup>2</sup> Under this RFA, health proposals will not be funded from USAID Washington (i.e., the Global Health Bureau or the GDA Secretariat). Health proposals may be welcome at the mission level; consult the appropriate mission contact (see Annex E).

into public-private alliances with others, including USAID, to carry out activities that will be responsive to critical development needs in the countries and sectors where USAID operates. USAID will review alliance proposals using a one-step process more fully described in Section III.

**There is no dollar value limit for individual proposals or for cumulative awards made under this RFA, however the minimum financial contribution sought from USAID is \$300,000.** The actual number of awards under this RFA is subject to the availability of funds and viability of proposals received. To be considered for an award under this RFA, each applicant must meet the following qualifying criteria:

**A. Partner Eligibility Criteria**

This RFA 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, 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, individual and group philanthropies/funds etc. NGOs do not need to be registered Private Voluntary Organizations to submit a proposal. However, PVOs must be registered prior to receiving an award. **Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to for-profit recipients under grants and cooperative agreements. Forgone profit does not qualify as cost-sharing or leveraging.**

In addition, all prospective partners must have 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, decent work conditions, environmental protection, and community involvement in their operational practices for both men and women. 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 the previous APS are also eligible to apply. Please note that some criteria have changed since the FY 2003 APS.

An September 25, 2003 Executive Order established the Volunteers for Prosperity, a new 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. Consistent with this, we encourage utilization and integration of volunteers as they may be appropriate in your programs. Further information on Volunteers for Prosperity can be found at: <<http://www.volunteersforprosperity.gov>>.

## B. Program Eligibility Criteria

To be considered for funding under this RFA, prospective alliance proposals must meet the following requirements:

1. Have clearly-defined objectives that have been agreed to by the partners.
2. Demonstrate significant new, non-federal government resources – whether money, ideas, technologies, experience and expertise – to address international development problems (see [Leverage](#) criteria below).
3. Address the development needs of one or more countries in which USAID is currently working (see [Annex A](#)). ***Alliances that operate in countries where USAID has a field presence and respond to field mission and/or Washington operating unit strategic objectives will be given priority.*** However, consideration may be given to alliances that seek to operate in countries where USAID does not have a field mission.
4. Contribute to one or more of the Agency’s high priority sectoral and programmatic objectives (see [Annex B](#)).
5. Offer promise of significant development impact, as measured, for example, by the number of direct and indirect beneficiaries of the program (disaggregated by gender where possible), and/or by the potential for replication or scaling-up over time.
6. Appear feasible from a technical, economic, financial, and social perspective.

USAID expects that funded programs may last from 12 to 36 months. Priority will be given to proposals that can be launched rapidly. ***This solicitation covers assistance activities and not products and services that would normally be purchased through a contract to meet a USAID requirement.***

## C. Leverage<sup>3</sup>

GDA alliances are expected to bring significant new, non-federal resources – whether money, ideas, technologies, experience and expertise – to address international development problems. ***To qualify for USAID funding under this RFA, an alliance must demonstrate that partners are able and willing to collectively contribute significant resources to the proposed program that at least match the amount of resources sought from USAID (i.e., a one-to-one leveraging ratio) with at least some portion of the leverage in the form of cash.***

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<sup>3</sup> 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](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 must clearly indicate whether they are proposing the contributions as “cost-share or matching” or as “leveraging.” If proposing as “leveraging,” applicants must provide annual benchmarks that include proposed results to be accomplished with USAID funds and the additional leveraging, and must provide annual timelines that include percentages or amounts (see the “Proposal Instructions and Criteria” section). The benchmarks and timelines will be included in the terms of any agreement awarded under this solicitation.

Further, alliances must show 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.

The resource contributions expected from alliance partners may include both public and private funds, and may be provided in cash or in kind. Public resources contributed to an alliance may come from other USG agencies, state and local governments or governmental agencies, bilateral and multilateral institutions, and foreign governments or governmental agencies. Private resources would include contributions from private companies, foundations, universities, NGOs (if raised from non-public sources), private individuals, and any other non-public source.

The total of USAID funds committed over the life of the alliance activity must leverage at least the same amount of total partner resources, with preference given for higher leveraging (see evaluation criteria below). Partner contributions (non-USAID funds) must include private (meaning non-public sector) resources at least equal to 25% of the value of the requested USAID resources.

It is this expectation of significant leverage of non-federal resources in combination with joint planning and sharing risks and benefits, that defines the public-private alliances under the GDA as distinct and different from many of the activities USAID has previously supported. ***This RFA is not intended to result in traditional grant relationships.***

### **III. Proposal Instructions, Review Process, and Evaluation Criteria**

#### **A. Proposal Review Schedule**

***To be considered, the proposal must be received by close of business Monday, March 15, 2004.*** Proposals are welcomed in advance of this deadline. Late submissions may be considered under this RFA at USAID's discretion; however, the focus will be on timely applications. Receipt of proposals will be acknowledged by March 22, 2004.

#### **B. Proposal Review Process**

The GDA Secretariat will be responsible for managing the proposal review process in consultation with the appropriate USAID field missions and/or Washington operating units. All proposals that qualify for GDA funding according to the following criteria will be forwarded to appropriate USAID Washington operating units and/or missions for their review. Those proposals that are (i) feasible; (ii) aligned with the goals of a USAID mission or Washington operating unit; (iii) innovative; and (iv) bring leveraging of a minimum one-to-one ratio will receive consideration.

Proposals that are accepted for award will receive funding from the GDA Incentive Fund or from other USAID resources. Those submitting proposals for potential GDA Secretariat Incentive funding (proposals sent to the GDA Secretariat in Washington, DC) should contact missions and/or Washington operating units before submitting their proposal. For

information about specific mission and operating unit goals and objectives please consult <<http://www.usaid.gov/policy/budget/cbj2004/>>. For contact information by mission, please see Annex E.

Please submit all questions concerning this request to Roopa Karia or Rebecca Goldman at the contact information below or by facsimile at (202) 216-3427. Applicants are strongly encouraged to submit questions prior to January 30, 2004. A summary of frequently asked questions will be posted on the web at <<http://www.usaid.gov/gda/>>.

Roopa Karia  
E-mail: [Rkaria@usaid.gov](mailto:Rkaria@usaid.gov)  
Telephone: (202) 712-5186

Rebecca Goldman  
E-mail: [Regoldman@usaid.gov](mailto:Regoldman@usaid.gov)  
Telephone: (202) 712-4418

**All proposals must be in English and submitted directly to Rebecca Goldman, Global Development Alliance Secretariat, Rm. 6.08.026, 1300 Pennsylvania Ave., NW Washington, DC 20523. An original and one copy, plus a 3.5” disk (MS Word format) are also required, including all original signature documents.**

**Issuance of this RFA 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 a proposal.**

### **C. Proposal Instructions and Criteria**

Proposals must be limited to 20 pages in length (not including attachments), single-spaced, using 12- point font. Responsive proposals should be sharply focused, technically sound, and demonstrate a clear sense of the applicant’s key objectives and ability to carry out the program.

Please follow the format below.

- Cover Page: 2 pages.
- Executive Summary: 1 page.
- Body of Proposal: 17 pages.
- Budget Information: No limit.  
See Annex D for budget template and include Standard Form 424, 424a, and 424b available at <<http://www.usaid.gov/pubs/ads/sfforms.html>>.
- Schedule: No limit.  
See Annex D for schedule template.
- All Attachments: 20 pages maximum.

The proposal should include the following information:

1. Cover Page:
  - a. Name of the alliance

- b. Total dollar amount requested from USAID
  - c. Applicant name (i.e., the proposed recipient of funding)
  - d. Partner name(s)
  - e. Project contact (Name, mailing address, telephone and fax numbers, and e-mail address of the person from your organization who is responsible for the project proposal; we will contact this person if we need further information)
  - f. Chief Executive (Name of the official who is head of your organization, mailing address, email address, and phone and fax numbers)
2. Table of Contents (listing all page numbers and attachments)
  3. Executive Summary
  4. Program Description
  5. Goal and Objectives
  6. Background/Problem Statement
  7. Proposed Interventions/Technical Approach
    - Highlight any specifically targeted to women and girls
  8. Expected Impact
    - Include the number and types of beneficiaries that will benefit from the alliance activity, disaggregated by gender where possible
  9. Duration of Activity
  10. Explanation of partners and their expected roles including other resources brought to bear (leveraging) and description of resources to be provided by partners and approximate value; please note the following minimum requirements:
    - a. The value of non-federal resources provided by alliance partners should be at least equal to the amount of resources sought from USAID (i.e., a minimum one-to-one leveraging ratio)
    - b. At least some portion of the leverage must be in the form of cash
    - c. The total value of private funds should be at least equal to 25% of the value of USAID resources sought
    - d. USAID will favor activities with a higher than one-to-one leveraging ratio
  11. Description of the nature of the contact made with the USAID mission and/or Washington operating unit prior to submission, including the name of the person who you contacted and a brief description of USAID's expressed interest in this alliance opportunity
    - a. If the proposal addresses more than one country, applicants must consult with the mission and/or Washington operating unit for each country (please see Annex E and complete form in Annex F)
    - b. Proposals should include only those countries where the USAID mission and/or Washington operating unit has expressed interest in the alliance
  12. Role of USAID (e.g., facilities, equipment, material, or personnel resources)
  13. Letters or other forms of communication (emails) demonstrating non-grantee partners' intent to participate; correspondence documenting interest from USAID country missions and/or Washington operating units and commitment to the alliance is also useful.
  14. Budget that identifies the total estimated cost of the program (see Annex D for budget template):

- a. Breakout of major budget categories/activities (for example, ‘Project Analysis/Design,’ ‘Stakeholder Outreach,’ ‘Project Evaluation,’ etc.)
  - b. Identification of funding source (i.e., by partner) for each
  - c. A narrative description of what resources will be used for
  - d. Include forms SF 424, 424a, and 424b
15. Implementation Schedule (see Annex D for schedule template)  
Include project milestones and leveraged contributions timeline
  16. Relevant organizational experiences of recipient and key partner organizations

Attachments should include the following:

1. A draft letter of intent that describes roles, responsibilities, and contributions of each of the alliance partners.
2. Curriculum vitae for key staff.
3. Applicants must submit a list of all contracts, grants, or cooperative agreements involving similar or related programs over the past three years. Reference information shall include the location, current telephone numbers, points of contact, award numbers if available, and a brief description of the work performed.

The attachments may also include relevant information about alliance partners including documentation of intent to participate by other partners.

#### **D. Criteria for Evaluation of Proposals**

Proposals will be evaluated using the following criteria, which are in order of priority.

Primary criteria (in descending order of priority):

1. 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. Sustainability and/or the extent of local involvement
2. Expressed interest of USAID mission and/or Washington operating unit and alignment with mission and/or operating unit strategic objectives
  - a. Has the alliance been discussed with USAID staff at the mission or Washington operating unit level? (See form in Annex F.)
  - b. Did the mission and/or Washington operating unit find this alliance opportunity to be of interest?
  - c. Does the proposed activity align with USAID mission or Washington operating unit strategic plan?
3. Value of leveraged resources and/or cost-share
  - a. Above one-to-one leveraging or cost-share
  - 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

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

5. 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?
6. Demonstration effect/scalability
7. Readiness for implementation
8. Development impact on men and women, disaggregated by gender
9. Past performance

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. Please see Annex C for more information. Due diligence concerns will be factored into the evaluation and selection process governing an award. USAID will conduct an independent review of these issues as they relate to potential alliance partners. However, potential partners 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. Additional information on USAID's approach to due diligence may be found in the "Tools for Alliance Builders" guide available on the GDA website at <<http://www.usaid.gov/gda>>.

##### **B. Memorandum of Understanding (MOU)**

Upon favorable review of the full proposal, partners including USAID will determine the appropriateness of finalizing a memorandum of understanding (MOU), typically used to clarify the roles and responsibilities of each alliance partner. In some circumstances, a finalized/completed MOU will not be necessary to move forward with an alliance.

##### **C. Role of Partners/Substantial Involvement**

Partners to the alliance effort (including USAID) bring varied strengths to the table. The actual division of responsibilities and risks will often be covered under a Letter of Intent/Memorandum of Understanding. Alternately, it may be reflected in the agreement that obligates USAID monies. The appropriate course will be determined through consideration

of the relationships of the various alliance members and will vary case by case. *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 and potential contributions are as follows. The Agreement Officer, or as specifically delegated, the Cognizant Technical Officer (CTO) might provide:

- Assistance in the design of an activity leveraging USAID's unique regional and technical expertise.
- Assistance with policy dialogue through the sharing of USAID's long-term experience with and access to host-country governments.
- Collaboration in establishing annual work objectives and approval of an annual work plan.
- Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- Collaboration in determining corrective actions, where necessary.

### **2. Example of Proposing Partner Responsibilities**

The proposing partner or other partners will be responsible for implementing the program in accordance with the terms and conditions of the Cooperative Agreement and/or the Letter of Intent/Memorandum of Understanding agreed upon by all partners to the alliance, and all other applicable USAID regulations. Proposing partners are also responsible for the following activities and documentation during the life of the program:

- Working with partners to develop annual workplans;
- Conducting ongoing assessment of progress and a final evaluation and submitting annual reports according to the requirements outlined in the cooperative agreement, highlighting any significant differences of activity impact between men and women;
- Reporting on contributions of alliance partners;
- Requesting approval for any changes in program description; and,
- Submitting updated Standard Form 424A annually (section D and E only).

### **D. Budget Negotiations**

Following a favorable 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 full proposal.

**E. Award**

Following favorable negotiations, USAID will award a grant or cooperative agreement to the institution proposing the 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**

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## ANNEX A

USAID has 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.

This list of USAID mission presence countries is subject to change without prior notice. Please consult < <http://www.usaid.gov/locations/missiondirectory.html>> or speak to the mission contacts in Annex E.

### USAID MISSION PRESENCE COUNTRY LIST

<u>AFRICA</u>	<u>ASIA AND NEAR EAST</u>	<u>EUROPE AND EURASIA (CON'T)</u>
Angola	Afghanistan	Union of Serbia and Montenegro
Benin	Bangladesh	FYR Macedonia
Burundi	Cambodia	Georgia
Democratic Republic of Congo	East Timor	Kosovo
Djibouti	Egypt	Moldova
Eritrea	India	Romania
Ethiopia	Indonesia	Russia
Ghana	Iraq	Ukraine
Guinea	Jordan	
Kenya	Lebanon	
Liberia	Mongolia	<u>LATIN AMERICA/ CARIBBEAN</u>
Madagascar	Morocco	
Malawi	Nepal	Bolivia
Mali	Pakistan	Brazil
Mozambique	Philippines	Colombia
Namibia	Sri Lanka	Dominican Republic
Nigeria	Thailand	Ecuador
Rwanda	Tunisia	Eastern Caribbean*
Senegal	Yemen	El Salvador
Sudan	West Bank/Gaza	Guatemala
South Africa		Guyana
Tanzania	<u>EUROPE AND EURASIA</u>	Haiti
Uganda	Albania	Honduras
Zambia	Armenia	Jamaica
Zimbabwe	Azerbaijan	Mexico
	Belarus	Nicaragua
	Bosnia-Herzegovina	Panama
	Bulgaria	Paraguay
	Central Asia Republics**	Peru

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

\*\* Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan

### USAID NON-MISSION COUNTRY LIST

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

#### AFRICA

#### ASIA AND NEAR EAST

#### EUROPE AND EURASIA

	Botswana		Algeria		Belarus
	Burkina Faso		Bahrain		Cyprus
	Burundi		Bhutan		Czech Republic
	Cameroon		Fiji		Estonia
	Cape Verde		Kiribati		Hungary
	Central African Republic		Laos		Latvia
	Chad		Malaysia		Lithuania
	Comoros		Maldives		Slovak Republic
	Congo/Brazzaville		Oman		Slovenia
	Cote d'Ivoire		Papua New Guinea		
	Equatorial Guinea		Qatar		
	Gabon		Samoa		
	Gambia, The		Solomon Islands		
	Guinea-Bissau		Tuvalu		
	Lesotho		Vanuatu		
	Mauritania		Vietnam		<u>LATIN AMERICA/ CARIBBEAN</u>
	Mauritius				
	Niger				Argentina
	Sao Tome				Belize
	Seychelles				Chile
	Sierra Leone				Costa Rica
	Somalia				Guyana
	Swaziland				Suriname
	Togo				Uruguay
					Venezuela

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

## [ANNEX B](#)

### **USAID'S SECTORAL AND TECHNICAL PRIORITIES**

The following is an illustrative list of USAID's sectoral and technical priorities. Priorities may differ by country. Contact the mission or Washington operating unit for a better understanding of their priorities or consult <[http://www.usaid.gov/our\\_work](http://www.usaid.gov/our_work)>.

#### **AGRICULTURE**

More than 800 million people, mostly women and children, go to bed hungry every night. Agricultural development reflects USAID's commitment to broad-based sustainable efforts to promote global peace and prosperity and to reduce hunger.

USAID seeks through its research, technical assistance, and training to:

- Improve agricultural productivity, natural resource management, markets, and human nutrition through science and technology
- Develop and extend agricultural technologies to increase productivity and incomes, improve childhood nutrition and cut hunger, and protect and improve the natural resource base
- Formulate policy analysis and reform tools to target countries that promote competitive and efficient agricultural markets capable of meeting the food needs of the poor and of competing in global markets
- Build human and institutional capacities to implement policies that encourage people in the agricultural system to acquire and adapt science and commercially based technologies

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

- Improving agricultural and food marketing
- Supporting biotechnology programs
- Developing programs which use information and communication technologies to accelerate outreach to farmers, rural communities, agribusiness, and researchers

#### **ANTI-CORRUPTION/GOVERNANCE/CIVIL SOCIETY STRENGTHENING**

##### *Anti-Corruption*

Corruption poses a serious development challenge. In the political realm, it undermines democracy and good governance by subverting formal processes. More generally, corruption erodes the institutional capacity of government as procedures are disregarded, resources are siphoned off, and officials are hired or promoted without regard to performance.

Corruption also undermines economic development by generating considerable distortions and inefficiency. In the private sector, corruption increases the cost of business through the

price of illicit payments themselves, the management cost of negotiating with officials, and the risk of breached agreements or detection.

USAID's programming seeks to:

- Promote higher standards in developing countries relating to good governance (including corporate governance) and corruption
- Encourage mutual or self-evaluation of governments with regard to corruption within their borders
- Enhance cooperation and technical assistance to promote local actions in the fight against corruption

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

- Strengthening the legal and regulatory process
- Building institutions and enhancing capacities through regulations and enforcement
- Cultivating a viable civil society where it does not already exist
- Creating partnerships between the public and private sectors to fight corruption
- Promoting transparency and accountability to ensure that the rule of law and market based economics take root

#### *Governance/Civil Society Strengthening*

Democratic governments are more likely to advocate and observe international laws, protect civil and human rights, avoid external conflicts, and pursue free market economies essential to international trade and prosperity. USAID programs encourage responsible participation by all citizens in the political processes of their countries, assist those countries to improve governance, especially the rule of law, and help strengthen non-governmental organizations and other elements of civil society.

Programming seeks to:

- Improving laws and legal systems
- Supporting fair and impartial elections and strengthening political processes
- Developing citizen groups and civil society
- Improving government's ability to perform and respond to constituency needs, including vulnerable populations, e.g. women and children

**USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:**

- Improving the institutional administration of justice
- Assisting efforts for the administration of elections in a credible, impartial and professional manner
- Training newly elected legislators and local officials to govern effectively
- Expanding and enhancing citizen participation in democratic governance through support for civil society organizations, including democratic labor unions
- Supporting the development of independent media
- Strengthening democratic political culture through civic education programs

- Providing technical assistance on implementing decentralization programs and democratic local governance

## **CONFLICT/ RELIEF, HUMANITARIAN ASSISTANCE, AND DISASTER MANAGEMENT**

### *Conflict*

Most developing countries, particularly those that are poor and divided by ethnicity or religion, confront periodic conflict. In 2000, there were 25 major armed conflicts in 24 locations. Conflicts often lead to protracted humanitarian crises with millions of people uprooted from their homes and livelihoods. By the end of 2000, at least 34.5 million people – refugees and internally displaced – had fled their homes over the years because of war, persecution, and human rights abuses. The number of internally displaced persons continued to exceed the number of refugees, due to the persistence and violence of conflicts, severe government repression, and the growing unwillingness of many states to host long-standing refugee populations.

In response, USAID has begun a new initiative to structure its programs and external relationships to deal more effectively with this emerging global reality. Additionally, USAID is taking the necessary steps to develop the institutional capacity to design and implement effective programs for minimizing the likelihood of such conflicts, as well as mitigating and resolving them. USAID’s goal is to save lives, reduce suffering, and reestablish conditions necessary for political and economic development. The two objectives under this goal are: 1) to meet urgent needs in times of crisis and 2) to reestablish personal security and basic institutions to meet critical intermediate needs and protect human rights.

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

- Developing vulnerability analyses and assessment tools for use in countries showing the potential for conflict, including developing host country capacity to assess and analyze conflict potential
- Focusing on natural resources that illicitly generate finances to fuel conflict, such as diamonds, timber and logging, and gold
- Developing measures for mitigating ethnic and religious conflict, including through media and education programs
- Assisting the parties to the conflict resolve their issues peacefully; identification of democratic means, governed by the rule of law, for deciding on the allocation of productive resources such as land and for fairly sharing the benefits of exploiting national resources such as oil
- Developing preventive measures and early identification of triggers that can spark the outbreak or escalation of violence
- Engaging civil society in improving accountability of authorities charged with security, and monitoring the flow of illegal small arms

### *Relief, Humanitarian Assistance, and Disaster Management*

National and international climatologists have forecast that more severe climate events entailing droughts, fires and famine in some parts of the world and hurricanes, cyclones, heavy rains and flooding in others will occur more frequently and severely. Scientists also predict more devastating earthquakes and severe volcanic eruptions. In FY 2001, OFDA responded to 79 declared disasters in 56 countries, including 54 natural disasters, 16 complex emergencies, and nine human-caused emergencies. Droughts and floods made up the largest number of natural disasters in FY 2001 accounting for 85% of the total number of people affected by declared natural disasters of all types.

The magnitude and unpredictable nature of most disaster events requires that USAID respond rapidly while remaining flexible and creative in its approaches to relief and mitigation. USAID works to provide relief supplies and humanitarian assistance, coordinates with other organizations for the provision of relief supplies and humanitarian assistance, and devises, coordinates, and implements program strategies for the application of science and technology to prevention, mitigation, and national and international preparedness initiatives for a variety of natural and human-caused disaster situations. USAID also develops and manages logistical, operational, and technical support for disaster responses, maintaining readiness to respond to emergencies through several mechanisms, including managing several Search and Rescue (SAR) Teams, the Ground Operations Team (GO Team), field Disaster Assistance Response Teams (DART), and the Washington-based Response Management Teams (RMT).

Our Disaster Assistance program objectives are to:

- Meet the critical needs of targeted, vulnerable groups (women, children, the elderly and disabled) in emergency situations
- Increase adoption of mitigation measures in countries at risk of natural disasters
- Enhance follow-on development prospects in priority, post-conflict countries.

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

- Supporting the capability to provide timely emergency response to disasters worldwide
- Strengthening the capacities of local governments and communities to prepare for and mitigate vulnerability in disaster situations
- Providing emergency commodities and services for immediate health care and nutrition
- Training of local health care staff in basic hygiene, nutrition and surveillance
- Providing potable water and appropriate sanitation facilities to reduce the probability of disease outbreak
- Supporting the provision of basic shelter and cooking tool needs of targeted vulnerable groups with plastic sheeting, tents, blankets and household kits;
- Meeting the emergency food needs of vulnerable populations with the purchase, transportation, and distribution of high-energy blended foods; and
- Supporting critical agricultural needs with the provision of seeds, tools, and a seed multiplication and distribution system.
- Provide support for communities to recover economically

## **ECONOMIC GROWTH AND TRADE CAPACITY BUILDING**

One fifth of the world's population, some 1.3 billion people, live in abject poverty. Trade and investment are the principal mechanisms through which developing countries can integrate into world markets and are the conduits through which global market forces spur economic growth. Faster economic growth is essential to achieving the international development goal of reducing by one half the proportion of people living on \$2 a day by 2015.

### *Promotion of Open, Competitive Economies*

USAID seeks to:

- Promote open and competitive economies
- Expand access to economic opportunities for the poor

### *Economic Opportunities for the Poor*

USAID'S program to increase access to economic opportunities for the poor focuses on promoting microenterprise development and policy reforms to make product, financial, and business service markets work better for enterprises in the formal and informal sectors. This includes promotion of:

- Expanded and more diverse financial services delivered by sustainable financial intermediaries
- Appropriate business development services and new technologies for micro-entrepreneurs, particularly women and other vulnerable groups
- Policies and tools to improve the viability and competitiveness of enterprises operated by poor households and their access to needed services

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

### *Promotion of Open, Competitive Economies*

- Enhancing the capacity of countries to participate in, comply with, and benefit from the global trading system
- Improving public sector governance to create a stable and favorable business environment
- Increasing the breadth, and depth of financial markets
- Gaining access and capacity to use new technologies, including information technologies
- Enhancing private sector capacity to respond to opportunities in the global marketplace
- Facilitating access and skills to construct business relationships
- Increasing the ability of developing country producers to meet international quality and safety standards

### *Economic Opportunities for the Poor*

- Assisting the poor increase their income, assets, skills, and productivity through microenterprise development

- Supporting innovation and expansion of promising service delivery models, research and dissemination of microenterprise best practices, capacity-building and training activities, and donor coordination
- Promoting the use of credit instruments where appropriate for the expansion of microfinance and business services, and to support measures by commercial banks and private firms to better serve this market
- Developing and test new microfinance products (e.g., new savings products, insurance, payment services) that can better meet existing clients' needs and reach out to currently under-served clients (particularly poorer households and more remote rural communities)
- Strengthening business services markets that serve poorer entrepreneurs

## **EDUCATION**

Economic growth in developing countries demands the creation of a productive and skilled workforce. Basic education for all children is a necessary first step. Of the 113 million children who have never been to school, 97 percent are in developing countries and 60 percent are girls. The overwhelming majority of these children are in Sub-Saharan Africa, and South and West Asia. Easing illiteracy, providing better quality education to more children, strengthening education institutions, and expanding opportunities for continuous education to working adults are essential to raising agricultural output/productivity, improving environmental stewardship, encouraging ethnic tolerance and respect for civil liberties, and building democratic values and practices. Moreover, the education of girls and women leads to higher incomes, better family health, increased child survival, smaller families, and improved social status for women.

Participation in the modern, global economy depends upon creating life-long learning opportunities for developing human capacity. USAID seeks to help host countries and their citizens build human capacity through education and training. USAID supports this strategic goal through basic education, higher education, workforce development, and training programs.

Basic education activities seek to expand access to quality basic education for under-served populations, especially girls and women. Higher education programs enhance the contribution of host-country colleges and universities to the process of development through institutional partnerships and networks that increase their human and institutional capacity. Workforce development programs link education and training systems with the private and public sector to target skill development for employment, especially for youth under 30 years of age. Training activities are short-term and long-term programs, in or outside the host country, which build knowledge, skills, and attitudes relevant to development sectors throughout USAID.

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

### *Basic Education*

- Devise and pilot cost-effective alternatives for teacher training and the development of education administrators/managers to meet the needs of developing countries (e.g., regional/cross-national and Internet-based approaches);
- Increase business community involvement that fosters practical links between education and employment, micro-economic development, and improved competitiveness in the global economy for developing countries;
- Plan and pilot alternatives to state-run management information systems (for education and other sectors) that afford increased data quality and analysis for improved education planning, at lower costs to national education systems, and sustainable for developing countries;
- Devise and pilot methods of fostering country-leadership of donor coordination in developing countries; and
- Develop and test strategies to increase South-South, North-South, and community-to-community assistance that facilitate achievement of the Dakar Framework for Education for All (EFA) in developing countries.

#### *Higher Education*

- Increase the capacity and contributions of host-country institutions of higher education and their private and public sector partners to economic growth and productivity through higher education and workforce partnerships;
- Strengthen the capacity of host-country education and training institutions (formal and informal) to provide job skills to drive productivity and economic growth;
- Pilot and model a higher education partnership and network that strengthens business schools' ability to link with small and medium enterprises to foster economic growth and community development;
- Pilot and model higher education linkages with agri-businesses and cooperatives to strengthen the capacity and quality of developing country agriculture secondary schools.

#### *Workforce Development*

- Provide assistance in identifying key ways to improve systems and institutions to link skill development with income generation, employment, and poverty reduction;
- Develop strategies to mobilize and transform unskilled labor force and disaffected youth into assets for nation building.

#### *Training*

- Strengthen the institutional capacity and performance of critical host-country partner institutions through technical and academic training programs in the U.S., in the host country, or in third-countries;
- Provide an integrated program of participant trainee support services, U.S. or third country placement, program monitoring, and administrative and technical assistance.

#### *General*

- USAID seeks innovative and cost-effective ways to use education, training, partnerships and technology to approach and replace the loss of human and institutional capacity due to the HIV/AIDS pandemic in the education sector and the workforce in developing countries.

## ENVIRONMENT/ENERGY

The loss of forests, freshwater and biodiversity, inadequate and inefficient use of energy, and the explosive growth in the world's urban centers undermine long-term economic growth and threaten ecological systems. They also endanger human health, and increase developing countries vulnerability to natural disasters and conflict. Energy is the fuel for economic development, yet one-third of the world's population has no access to reliable and sustainable energy sources. The world's natural resource base is rapidly degrading with over 130,000 km<sup>2</sup> of tropical forests lost each year, and the extinction of species is 1,000 times what would occur naturally. Nearly half of the world's population now lives in cities, and up to 50% of developing country urban populations lack safe drinking water, shelter, sanitation and waste disposal. Furthermore, increases in global greenhouse gas emissions, approximately fifty percent of which are produced in developing countries, threaten to disturb the delicate ecological balance, disproportionately effecting the world's poor who are the least able to adapt to these changes. Long-term economic growth depends upon managing a country's natural resources base, using energy to increase human productivity, helping cities to provide services and markets, and having predictable seasonal and long-term climatic conditions.

USAID invests in five key environmental areas:

- Biological diversity
- Natural resources management
- Urbanization
- Sustainable energy production and use
- Global climate change

USAID seeks to develop alliances that bring innovative approaches promising measurable impact to areas such as:

### *Improved Protection and Sustainable Use of Natural Resources*

- Providing biodiversity conservation through on-the-ground conservation initiatives and dissemination of best management practices
- Improving the design and implementation of policies that affect biodiversity use and conservation
- Providing technical assistance to field missions in strategic planning, program design, and monitoring of biodiversity programs
- Reducing damage to forests by inappropriate wood harvesting techniques
- Promoting rehabilitation of degraded land
- Increasing local participation in forest and tree system management
- Establishing integrated monitoring and assessment of forest resources to conserve biodiversity and improve forest health.
- Strengthening the individual and institutional capacity of non-governmental organizations (NGOs), community-based organizations, and government institutions involved in freshwater and coastal resources management

- Promoting new initiatives that help communities identify, value, and better manage freshwater and coastal resources under their control
- Increasing public awareness of and participation in freshwater and coastal resources management
- Improving the design and implementation of policies that affect water use
- Create low-cost/low-maintenance water treatment and disinfection systems

#### *Improved Management of Urbanization in Target Areas*

- Improving living conditions and minimizing disaster risks, especially for urban slum settlements
- Increasing equitable delivery of water, electricity, and waste disposal services
- Expanding the private sector's role in partnering with cities to provide services and shelter for the poor
- Incorporating people and community needs into urban management

#### *Increased Environmentally Sustainable Energy Production and Use*

- Promoting energy efficiency and environmental management systems in cities, transport and industry
- Expanding electrification activities to rural and economically disadvantaged urban areas
- Fostering implementation of policy and regulatory changes that clarify or establish rights and incentives for the cost-effective utilization of renewable energy resources and technologies
- Developing productive use of energy in applications such as irrigation pumping, drip irrigation and processing agricultural commodities, communications, and information technologies
- Improving public and private sector institutional ability to administer the energy sector, allow for more effective delivery of energy services to rural and urban populations, and expand improved urban environmental management systems

#### *Reduced Threat to Sustainable Development from Global Climate Change*

- Advancing approaches that promote climate-friendly technologies and carbon sequestration through innovative energy, forestry, and agricultural practices
- Developing projects that reduce greenhouse gas emissions through cost-effective interventions
- Mitigating impacts on food production, human health, the natural resource base and coastal areas caused by climate change, land use change, and long-term changes in precipitation patterns

## **HEALTH**

USAID has five priority areas in health:

- Reducing HIV/AIDS transmission and mitigating its impact;
- Reducing deaths from infectious diseases of major public health importance;
- Increasing the use of key maternal health and nutrition interventions;

- Increasing the use of interventions to improve child health and nutrition; and
- Increasing the use of voluntary practices to reduce fertility and improve reproductive health.

Health alliance ideas may be welcome at the mission level. Please contact missions to understand their current priorities in the health care field (listed in [Annex E](#)).

## **INFORMATION TECHNOLOGY**

The distribution of information has become a very important aspect of global development. Developing countries must be equipped with knowledge and technologies to not only survive but to thrive in the electronic global climate.

USAID, through its program objectives, seeks to expand developing country access to and use of information and telecommunication technology through:

- Technical assistance to help host-countries better manage and expand their information and communication technology (ICT) infrastructure
- Training to foster reform of telecommunications, Internet, and electronic commerce policy and regulation
- Increase access to the under-served, especially women and girls
- Provide access to ICT in more remote areas, including rural communities
- Pilot programs to demonstrate how ICT can support USAID objectives in education, economic growth, agriculture, democracy and governance, environment, disaster management, etc.

Innovative approaches promising measurable impact on in such areas as:

- Using the particular power of ICT technologies, especially global and regional proposals that transcend bilateral boundaries, in support USAID objectives in education, economic growth, agriculture, democracy and governance, and environment
- Using ICT Technologies to provide hands-on training for entrepreneurs and small businesses drawing on the private sector for resources and volunteers.
- Using ICT technologies to provide affordable, community-based access to local and global markets for continued training and business transactions
- Working in developing country public sectors to provide coordinated policy and regulatory reform assistance, including increased training for regulators and policy makers in order to foster a policy and regulatory environment in telecommunications and electronic commerce where entrepreneurs and enterprises can be successful.

## ANNEX C

### DUE DILIGENCE CONCERNS

The GDA Secretariat publication, "Tools for Alliance Builders," discusses due diligence investigation in greater detail. Due diligence is a crucial part of the partnering process and serious attention must be given to the topic before embarking on a strategic alliance. Therefore, it is recommended that a more comprehensive due diligence investigation be undertaken to enable the Agency to make the right decision on whether to partner with a particular firm.

Essential areas for investigation of private enterprises versus non-profit organizations may differ. The following factors can assist you in developing your due diligence strategy. For complete information, including tools for obtaining due diligence information and specific concerns for private and non-profit entities, please refer to the GDA Secretariat publication "Tools for Alliance Builders," referenced on the GDA website at <http://www.usaid.gov/gda>.

1. What is important to the Agency? What is not?
2. Which problems will be costly? Which ones will be minor?
3. Where are you likely to find problems? Where are you unlikely to find problems?
4. What is the type of transaction you are expecting? How large or small is the transaction? How complex? What will the investigation cost in time and in money?
5. What is the risk to the Agency if the unexpected causes the transaction to go bad?
6. How much time do you have? What do you have to lose by delay? What does the potential partner have to lose? How badly does the Agency need the alliance? How badly do the potential partners?

**ANNEX D**

**BUDGET AND SCHEDULE TEMPLATES**

BUDGET TEMPLATE

	Budget Categories				
	[Category 1] <sup>3</sup>	[Category 2]	[Category 3]	[Category 4]	Total
<b>USAID<sup>1</sup></b>					
<b>[Partner 1]<sup>2</sup></b>					
<b>[Partner 2]</b>					
<b>[Partner 3]</b>					
<b>[Partner 4]</b>					
<b>[Partner 5]</b>					
<b>[Partner 6]</b>					
<b>Total</b>					

<sup>1</sup> The total amount of funding sought from USAID.  
<sup>2</sup> Funding committed by each partner.  
<sup>3</sup> Major budget categories/activities (for example, "Project Analysis/Design," "Stakeholder Outreach," etc.)

SCHEDULE TEMPLATE

	QTR 1	QTR 2	QTR 3	QTR 4	QTR 5	QTR 6	QTR 7	QTR 8
<b>Alliance Activities</b>								
<b>Include Project Milestones and Leveraged Contributions</b>								
	=====							=====
		=====						
		=====						
		=====	=====					
			=====	=====				
				=====	=====			
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## ANNEX E

### USAID POINTS OF CONTACT IN HOST COUNTRIES

***Before submitting a proposal,*** please speak with a person at the USAID mission and/or Washington operating unit either by phone, email, letter or in person. The mission and/or Washington operating unit will inform you as to 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 list of USAID mission contacts and their email addresses. For example, if your organization has an idea for an alliance in the Dominican Republic, your contacts are David Delgado and Kurt Low, who reside in the Dominican Republic.

If you are unsure of the appropriate contact at a USAID mission or Washington operating unit, please contact Roopa Karia at (202) 712-5186 or Rebecca Goldman at (202) 712-4418.

Please also complete the “Record of USAID Interest” form in Annex F and include with your proposal.

This RFA will not cover alliance ideas that cover Eastern European countries.

#### MISSION PRIORITIES INCLUDE:

<b>AFGHANISTAN</b>	Craig Buck	<a href="mailto:Cbuck@usaid.gov">Cbuck@usaid.gov</a>	
<b>ALBANIA</b>	Barry Primm	<a href="mailto:Baprimm@usaid.gov">Baprimm@usaid.gov</a>	
<b>ANGOLA</b>	Jeffrey W. Ashley Cathy Jane Bowes	<a href="mailto:Jashley@usaid.gov">Jashley@usaid.gov</a> <a href="mailto:Cjbowes@usaid.gov">Cjbowes@usaid.gov</a>	
<b>ARMENIA</b>	Tracy Thoman	<a href="mailto:Tthoman@usaid.gov">Tthoman@usaid.gov</a>	
<b>AZERBAIJAN</b>	Bill McKinney	<a href="mailto:Wmckinney@usaid.gov">Wmckinney@usaid.gov</a>	
<b>BANGLADESH</b>	Caryle Cammisa	<a href="mailto:Ccammisa@usaid.gov">Ccammisa@usaid.gov</a>	
<b>BELIZE</b>			
<b>BENIN</b>	Barbara Dickerson	<a href="mailto:Bdickerson@usaid.gov">Bdickerson@usaid.gov</a>	
<b>BOLIVIA</b>	Edward Landau	<a href="mailto:Elandau@usaid.gov">Elandau@usaid.gov</a>	
<b>BOSNIA-HERZ</b>	Igor Nesterczuk	<a href="mailto:Inesterczuk@usaid.gov">Inesterczuk@usaid.gov</a>	Bosnia-Herzegovina
<b>BOTSWANA</b>			
<b>BRAZIL</b>	Dick Goughnour	<a href="mailto:Rgoughnour@usaid.gov">Rgoughnour@usaid.gov</a>	
<b>BULGARIA</b>	Ivanka Tzankova	<a href="mailto:Itzankova@usaid.gov">Itzankova@usaid.gov</a>	
<b>CAMBODIA</b>	Pam Foster	<a href="mailto:Pfoster@usaid.gov">Pfoster@usaid.gov</a>	
<b>CENTRAL ASIAN REPUBLICS</b>	Amy Tohill-Stull	<a href="mailto:Atohill-stull@usaid.gov">Atohill-stull@usaid.gov</a>	Economic growth; Strengthening democratic culture; Expanding access to primary health care;

			Improved natural resources management; Conflict prevention; Education; Anti-corruption.
<b>COLOMBIA</b>	Michael Deal	<a href="mailto:MDeal@usaid.gov">MDeal@usaid.gov</a>	
<b>COSTA RICA</b>			
<b>COTE D'IVOIRE</b>			
<b>CROATIA</b>	Clay Epperson	<a href="mailto:Cepperson@usaid.gov">Cepperson@usaid.gov</a>	
<b>DJIBOUTI</b>			
<b>DEMOCRATIC REPUBLIC OF CONGO</b>	Nicholas Jenks	<a href="mailto:Nijenks@usaid.gov">Nijenks@usaid.gov</a>	
<b>DOMINICAN REPUBLIC</b>	David Delgado Kurt Low	<a href="mailto:Ddelgado@usaid.gov">Ddelgado@usaid.gov</a> <a href="mailto:Klow@usaid.gov">Klow@usaid.gov</a>	
<b>ECUADOR</b>	Carl Derrick	<a href="mailto:Cderrick@usaid.gov">Cderrick@usaid.gov</a>	
<b>EGYPT</b>	Rebecca Latorraca	<a href="mailto:Rlatorraca@usaid.gov">Rlatorraca@usaid.gov</a>	
<b>EL SALVADOR</b>	Tully Cornick	<a href="mailto:Tcornick@usaid.gov">Tcornick@usaid.gov</a>	
<b>EQ. GUINEA</b>			
<b>ERITREA</b>	Michael Wyzan	<a href="mailto:Mwyzan@usaid.gov">Mwyzan@usaid.gov</a>	Agricultural sector projects in which a major U.S. agricultural processor builds a processing facility (say, a flour mill) for domestic and export markets, and USAID provides related training and other forms of capacity building.
<b>ETHIOPIA</b>	Ken Duckworth Karen Freeman	<a href="mailto:KDuckworth@usaid.gov">KDuckworth@usaid.gov</a> <a href="mailto:Kfreeman@usaid.gov">Kfreeman@usaid.gov</a>	
<b>CENTRAL AMERICA REGIONAL MISSION/ GUATEMALA</b>	Carrie Thompson Loren Stoddard	<a href="mailto:Cthompson@usaid.gov">Cthompson@usaid.gov</a> <a href="mailto:Lstoddard@usaid.gov">Lstoddard@usaid.gov</a>	Proposals should reflect clear linkages to new regional strategy for Central America and Mexico (available at <a href="http://www.usaid.gov">www.usaid.gov</a> ). Approved Country Plans (annexes to the CAM strategy) should also be consulted for any proposed work in Guatemala, Mexico, Honduras and Nicaragua.
<b>GEORGIA</b>	James Bonner	<a href="mailto:Jbonner@usaid.gov">Jbonner@usaid.gov</a>	
<b>GHANA</b>	Timm Harris	<a href="mailto:Tharris@usaid.gov">Tharris@usaid.gov</a>	
<b>GUINEA-BISSAU</b>	Robert Boncy	<a href="mailto:Rboncy@usaid.gov">Rboncy@usaid.gov</a>	
<b>GUYANA</b>	Mike Sarhan	<a href="mailto:Msarhan@usaid.gov">Msarhan@usaid.gov</a>	

<b>HAITI</b>	Susan Riley	<a href="mailto:Sriley@usaid.gov">Sriley@usaid.gov</a>	
<b>HONDURAS</b>	Leyla Gaytan Duty Greene	<a href="mailto:Lgaytan@usaidf.gov">Lgaytan@usaidf.gov</a> <a href="mailto:Dugreene@usaid.gov">Dugreene@usaid.gov</a>	Proposals should reflect clear linkages to new regional strategy for Central America and Mexico (available at <a href="http://www.usaid.gov">www.usaid.gov</a> ). Approved Country Plans (annexes to the CAM strategy) should also be consulted for any proposed work in Guatemala, Mexico, Honduras and Nicaragua.
<b>HUNGARY</b>	Hilda "Bambi" Arellano	<a href="mailto:Harellano@usaid.gov">Harellano@usaid.gov</a>	
<b>INDIA</b>	David Heesen	<a href="mailto:Dheesen@usaid.gov">Dheesen@usaid.gov</a>	
<b>INDONESIA</b>	Richard Hough	<a href="mailto:rrough@usaid.gov">rrough@usaid.gov</a>	
<b>IRAQ</b>	Ross Wherry	<a href="mailto:RWherry@usaid.gov">RWherry@usaid.gov</a>	
<b>JAMAICA</b>	Karen Turner	<a href="mailto:kturner@usaid.gov">kturner@usaid.gov</a>	
<b>JORDAN</b>	Debra Mosel	<a href="mailto:Dmosel@usaid.gov">Dmosel@usaid.gov</a>	Information and Communications Technology; Women in Business; and, Water Sector Initiatives.
<b>KENYA</b>	[Dwight] Al Smith	<a href="mailto:Dwsmith@usaid.gov">Dwsmith@usaid.gov</a>	
<b>KOSOVO</b>	Judith Schumacher	<a href="mailto:Jschumacher@usaid.gov">Jschumacher@usaid.gov</a>	
<b>LEBANON</b>	Ghassan Jamous Zeina Farhat	<a href="mailto:Jamousgw@state.gov">Jamousgw@state.gov</a> <a href="mailto:Farhatzn@state.gov">Farhatzn@state.gov</a>	Agro-Business; Education; and, ICT.
<b>LIBERIA</b>	Ed Birgells	<a href="mailto:Ebirgells@usaid.gov">Ebirgells@usaid.gov</a>	
<b>MACEDONIA</b>	Steve Gonyea	<a href="mailto:Sgonyea@usaid.gov">Sgonyea@usaid.gov</a>	
<b>MADAGASCAR</b>	Stephen Haykin	<a href="mailto:Shaykin@usaid.gov">Shaykin@usaid.gov</a>	
<b>MALAWI</b>	Joseph VanMeter	<a href="mailto:Jvanmeter@usaid.gov">Jvanmeter@usaid.gov</a>	
<b>MALI</b>	Mervyn Farroe	<a href="mailto:Mfarroe@usaid.gov">Mfarroe@usaid.gov</a>	
<b>MEXICO</b>	Ed Kaidu	<a href="mailto:Pauwhite@usaid.gov">Pauwhite@usaid.gov</a>	Proposals should reflect clear linkages to new regional strategy for Central America and Mexico (available at <a href="http://www.usaid.gov">www.usaid.gov</a> ). Approved Country Plans (annexes to the CAM strategy) should also be consulted for any proposed work in Guatemala, Mexico, Honduras and Nicaragua.
<b>MONGOLIA</b>	Dugersuren	<a href="mailto:dsukhgerel@usaid.gov">dsukhgerel@usaid.gov</a>	

	Sukhgerel		
<b>MOROCCO</b>	Abderrahim Bouazza	<a href="mailto:abouazza@usaid.gov">abouazza@usaid.gov</a>	Among other areas, mission priorities include basic education (grades 6-9), workforce training, and local governance.
<b>MOZAMBIQUE</b>	James Watson	<a href="mailto:Jwatson@usaid.gov">Jwatson@usaid.gov</a>	
<b>NAMIBIA</b>	Tina Dooley-Jones	<a href="mailto:Tdooley-Jones@usaid.gov">Tdooley-Jones@usaid.gov</a>	
<b>NEPAL</b>	Peter Kresge	<a href="mailto:Pkresge@usaid.gov">Pkresge@usaid.gov</a>	
<b>NICARAGUA</b>	Cristina Olive	<a href="mailto:Colive@usaid.gov">Colive@usaid.gov</a>	Economic growth; Anti-corruption; Private sector and social sector (health and education) investment and entrepreneurial activities that support public-private alliances, promote greater efficiencies in service delivery, expand access to and utilization of services, and/or offer alternatives in cross-subsidies, cost sharing, alternative financing that reduces public sector burden. Special preference for multi-country approaches and applications that reflect the configuration of USAID's new CAM strategy (available at <a href="http://www.usaid.gov">www.usaid.gov</a> ).
<b>NIGERIA</b>	Denise Rollins	<a href="mailto:Drollins@usaid.gov">Drollins@usaid.gov</a>	
<b>PAKISTAN</b>	Mark Ward	<a href="mailto:Wardms@state.gov">Wardms@state.gov</a>	
<b>PANAMA</b>	Richard Mangrich	<a href="mailto:Rmangrich@usaid.gov">Rmangrich@usaid.gov</a>	
<b>PARAGUAY</b>	Wayne Nilsestuen	<a href="mailto:Wanilsestuen@usaid.gov">Wanilsestuen@usaid.gov</a>	
<b>PERU</b>	Tom Delaney	<a href="mailto:Tdelaney@usaid.gov">Tdelaney@usaid.gov</a>	Geographic focus: Ayacucho, Cusco, Huanuco, Junin, Pasco, San Martin, Ucayali, with a special emphasis on coca-growing regions and the Peru-Ecuador border region. Mission objective: Facilitate trade and private investment in order to generate income/jobs.
<b>PHILIPPINES</b>	Frank Donovan	<a href="mailto:Fdonovan@usaid.gov">Fdonovan@usaid.gov</a>	
<b>REGIONAL ECONOMIC DEVELOPMENT SERVICES OFFICE FOR EAST AND SOUTHERN</b>	Greg Howell	<a href="mailto:Ghowell@usaid.gov">Ghowell@usaid.gov</a>	

<b>AFRICA</b>			
<b>REGIONAL CENTER FOR FOR SOUTHERN AFRICA</b>	Gary Mullins	<a href="mailto:Gmullins@usaid.gov">Gmullins@usaid.gov</a>	
<b>ROMANIA</b>	Corina Mararu Graham Kerr	<a href="mailto:Cmararu@usaid.gov">Cmararu@usaid.gov</a> <a href="mailto:Gkerr@usaid.gov">Gkerr@usaid.gov</a>	USAID/Romania places a premium on forming alliances to better ensure program sustainability. Please refer to our Mission's strategy which may be accessed at <a href="http://www.usembassy.ro">www.usembassy.ro</a> .
<b>RUSSIA</b>	Roy Grohs  Denise Korepanov	<a href="mailto:RGrohs@usaid.gov">RGrohs@usaid.gov</a>  <a href="mailto:DKorepanov@usaid.gov">DKorepanov@usaid.gov</a>	
<b>RWANDA</b>	Henderson Patrick Donna Gray	<a href="mailto:HPatrick@usaid.gov">HPatrick@usaid.gov</a> <a href="mailto:Dgray@usaid.gov">Dgray@usaid.gov</a>	
<b>SAO TOME</b>			
<b>SENEGAL</b>	Patrick Fine	<a href="mailto:Pfine@usaid.gov">Pfine@usaid.gov</a>	
<b>SIERRA LEONE</b>			
<b>SOMALIA</b>			
<b>SOUTH AFRICA</b>	Karl Fickenscher	<a href="mailto:Kfickenscher@usaid.gov">Kfickenscher@usaid.gov</a>	
<b>SRI LANKA</b>	Carol Becker	<a href="mailto:Cbecker@usaid.gov">Cbecker@usaid.gov</a>	Economic growth, democracy and governance, and humanitarian assistance, with a special objective for transition initiatives to support the peace process. Priority area for alliance development is in the workforce and skills development component of the economic growth SO.
<b>SUDAN</b>			
<b>TANZANIA</b>	Thomas McAndrews	<a href="mailto:Tmcandrews@usaid.gov">Tmcandrews@usaid.gov</a>	
<b>UGANDA</b>	Liz Regan Kiingi	<a href="mailto:Lkiingi@usaid.gov">Lkiingi@usaid.gov</a>	
<b>UKRAINE</b>	Gary Linden	<a href="mailto:Glinden@usaid.gov">Glinden@usaid.gov</a>	NIS regional accounting
<b>WEST AFRICA REGIONAL PROGRAM</b>	Ryan Washburn	<a href="mailto:Rwashburn@usaid.gov">Rwashburn@usaid.gov</a>	
<b>WEST BANK/GAZA</b>	Margot Ellis	<a href="mailto:Mellis@usaid.gov">Mellis@usaid.gov</a>	
<b>YUGOSLAVIA (FRY)</b>	Bill Foerderer,	<a href="mailto:Bfoerderer@usaid.gov">Bfoerderer@usaid.gov</a>	
<b>ZAMBIA</b>	Nishana Fernando	<a href="mailto:Nfernando@usaid.gov">Nfernando@usaid.gov</a>	
<b>ZIMBABWE</b>	Michael Foster	<a href="mailto:Mifoster@usaid.gov">Mifoster@usaid.gov</a>	

**ANNEX F**

**RECORD OF USAID INTEREST IN ALLIANCE**

Please fill in the table below with the name of each country addressed in the alliance proposal and the contact spoken with at the relevant country mission and/or Washington operating unit. If you have questions, please speak to Roopa Karia (202.712.5816, rkaria@usaid.gov) or Rebecca Goldman (202.712.4418, regoldman@usaid.gov).

Country	Contact at Mission and/or Washington Operating Unit (i.e. name and position)	Date and Method of Contact (i.e. letter, telephone, e-mail, fax)	Did the Mission and/or Washington Operating Unit Indicate a Clear Expression of Interest in the Alliance Proposal?	Comments
1.			Yes/No	
2.			Yes/No	
3.			Yes/No	
4.			Yes/No	
5.			Yes/No	

Please continue table on additional sheet if necessary.

If the proposal addresses more than one country, applicants must consult with the mission for each country  
Proposals should only include those countries for which mission input has been sought