



USAID
FROM THE AMERICAN PEOPLE

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA)
Office of U.S. Foreign Disaster Assistance (OFDA)**

**CALL FOR PUBLIC-PRIVATE ALLIANCE PROPOSALS IN BURMA, THAILAND, AND VIETNAM
UNDER EXISTING ANNUAL PROGRAM STATEMENT
Addendum - APS No: APS-OAA-13-000003
[OFDA APS No. APS-OFDA-13-000008]**

PLEASE NOTE: This Addendum relates to an existing announcement. All interested organizations should carefully review both this Addendum AND the full announcement (APS No: APS-OAA-13-000003), which can be found here: <http://www.usaid.gov/work-usaid/get-grant-or-contract/opportunities-funding/global-development-alliance-annual-program>. Important information contained in the full announcement is not repeated in this addendum.

This Call for Proposals is authorized in accordance with the Foreign Assistance Act of 1961, as amended. Section 491 of the FAA authorizes U.S. Government (USG) assistance for natural and human-caused disasters abroad, as well as prevention, mitigation, and preparedness activities designed to reduce the impact of recurrent natural hazards and foreign humanitarian disasters.

Through this Addendum to the FY 2013 Global Development Alliance (GDA) Annual Program Statement (APS) No. APS-OAA-13-000003 (GDA APS), USAID's Office of U.S. Foreign Disaster Assistance (USAID/OFDA) is making a special call for the submission of concept papers to help reduce the risk of natural disasters in Burma, Thailand, and Vietnam.

The objectives supported under this Addendum are:

- 1) Increasing the effectiveness of early warning systems for communities at risk of natural disasters in Burma, Thailand, and/or Vietnam;
- 2) Improving the preparedness of vulnerable communities to natural disasters in Burma, Thailand, and/or Vietnam;
- 3) Improving the risk/hazard assessments throughout the country(ies) or in specific highly vulnerable areas of each country in coordination with the lead national government agency and other relevant agencies in Burma, Thailand, and/or Vietnam; and

- 4) Improving settlement planning and construction practices that contribute to reducing the risks of vulnerable communities, based on their specific hazard exposure, in Burma, Thailand, and/or Vietnam.

USAID/OFDA anticipates making multiple awards under this APS Addendum. Barring exceptional circumstances, USAID/OFDA funding for any given award will range between \$500,000 and \$1 million, regardless of the number of countries in which programming will be conducted (see below on 1:1 leverage to USAID funding). Final funding levels will depend on the content, quality, and number of applications received; the availability of funding; possible competing priorities; and unpredictable USAID/OFDA programming needs. The estimated project life for each award is 12 to 36 months.

As stated in the worldwide GDA APS No. APS-OAA-13-000003, USAID expects to receive proposals that mobilize private sector resources, expertise, and contributions on at least a 1:1 basis. The private sector resource contribution must equal or exceed the level of resources provided by the USG. For example, if USAID/OFDA invests the maximum amount of \$1 million allowed under this Addendum to the GDA APS, the array of contributions and resources provided by private sector partners require a value equal to *and preferably significantly greater than* \$1 million. USAID refers to this private sector resource mobilization as leverage. While an alliance may mobilize a variety of other resources from a range of other partners, the 1:1 leverage requirement necessitates the mobilization of private sector expertise, contributions, and resources. The worldwide GDA APS announcement contains a description of and the criteria for what is considered as leverage. Proposals that do not meet the leverage requirement will not be considered under this announcement.

Unless otherwise specifically stated herein, all terms and conditions of the worldwide GDA APS apply. The GDA APS is available for viewing and download at the following website: <http://www.usaid.gov/work-usaid/get-grant-or-contract/opportunities-funding/global-development-alliance-annual-program>.

I. Background

Around the world, disasters are taking an increasingly large economic and social toll on countries. According to the Center for the Research on the Epidemiology of Disasters, data from recent years demonstrates an increasing trend in the economic and human impact of disasters. With each disaster, infrastructure is destroyed, poverty increases, and economic opportunities and livelihoods are interrupted or lost, all putting development gains at risk.

USAID/OFDA¹ responds to natural and man-made disasters around the world to save lives, alleviate suffering, and reduce the economic and social impact of disasters. USAID/OFDA

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

provides financial and technical support to many countries and communities working to reduce their risk to disasters, and strengthen the resilience of people to withstand adverse events through disaster risk reduction (DRR) programs.

USAID/OFDA takes a three-pronged approach to DRR:

- We invest in early warning, preparedness, mitigation, and prevention efforts.
- We integrate preparedness and mitigation with disaster response, early recovery, and transition to enable communities to "build back better" after a disaster.
- We support the reduction of risks to livelihood assets and market systems, and the diversification of livelihood strategies when necessary, to enhance household and community-level resilience.

USAID/OFDA DRR programs are guided by the Hyogo Framework for Action's (HFA) five priorities:

- Making disaster risk reduction a priority
- Improving risk information and early warning systems
- Building a culture of safety and resilience
- Reducing risks in key sectors
- Strengthening preparedness for response

USAID/OFDA supports a variety of DRR programs in many countries around the world to prevent or minimize damage and loss of life caused by disasters. In the East Asia and Pacific (EAP) region, populations are experiencing increased risks from a variety of natural, technological, and human-induced disasters. Recurring natural disasters in the region—such as typhoons, floods, droughts, and earthquakes—cause significant suffering, loss of life, and economic losses. Environmental degradation and pressures arising from overpopulation and rapid urbanization, including vulnerable sub-standard housing and poor sanitation, further increases populations' vulnerability and exposure to natural disasters. The region's cities lack the capacity to adequately plan urban development and build urban communities and systems in a manner that prepares for, reduces, and otherwise manages the disaster risks linked to projected population growth.

Examples of USAID/OFDA programs in the EAP region include: disaster risk management capacity of Vietnamese businesses; tsunami-early warning and preparedness activities and multi-hazard community-based disaster risk management in the Pacific Islands; flood forecasting and management in trans-boundary river basins in lower Mekong region; public outreach addressing natural disasters in the Philippines; seismic retrofit demonstrations and medical first response in Indonesia; climate forecasting and applications in Indonesia and

To this end, the USAID/OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and DRR activities.

Philippines; and community-based disaster vulnerability assessment and mitigation planning, support to the development or refinement of national disaster management plans, and search and rescue capacity-building across the EAP region. Additional examples can be found at: http://transition.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/regiona%2Ffiles/eastasia_drr_fs01_09-30-2011.pdf.

Given the important role of the private sector in contributing to disaster risk DRR efforts, USAID's DRR approach and programs endeavor to engage the private sector as a core partner. This addendum seeks to strengthen USAID/OFDA's collaboration with the private sector in developing and implementing effective DRR approaches and programs.

II. Solicitation

USAID/OFDA seeks partnerships that bring together the private and public sectors in ways that contribute to the reduction of natural disaster risks in the EAP region. Through this announcement and in support of USAID/OFDA's overall programming, USAID/OFDA invites humanitarian agencies², the private sector, and the public sector to develop new and innovative alliances that focus on the first element of its three-pronged approach: investing in early warning, preparedness, mitigation, and prevention efforts.

Specifically, alliances proposed under this Addendum should address one or more of the following objectives:

- 1) Increasing the effectiveness of early warning systems to communities at risk of natural disasters in Burma, Thailand, and/or Vietnam;
- 2) Improving the preparedness of vulnerable communities to natural disasters in Burma, Thailand, and/or Vietnam;
- 3) Improving the risk/hazard assessments throughout the country(ies) or in specific highly vulnerable areas of each country in coordination with the lead national government agency and other relevant agencies in Burma, Thailand, and/or Vietnam; and
- 4) Improving settlement planning and construction practices that contribute to reducing the risks of vulnerable communities, based on their specific hazard exposure, in Burma, Thailand, and/or Vietnam.

Alliances proposed under this Addendum must contribute to achieving one or more of USAID/OFDA's four programmatic objectives, as described below. Illustrative types of alliance interventions and activities are outlined under each objective. These interventions are illustrative only, and are not meant to limit an applicant's creativity. However, any proposed intervention or activity must include an explicit and direct link to the achievement of one or

² For the purpose of this Addendum, humanitarian agencies include UN agencies, public international organizations, and international and local non-government organizations (NGOs). The private sector includes local and multinational corporations and grant-making foundations. The public sector includes national and sub-national government departments and agencies.

more of the four programmatic objectives. In addition, any proposed intervention or activity must mainstream protection, integrate gender, and include persons with disabilities and older persons. Applicants are encouraged to examine the USAID/OFDA Guidelines For Proposals, October 2012, pages 60-62, for guidance on how to include these vulnerable groups within their programming

(http://transition.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/files/accg/guidelines_for_proposals_2012.pdf).

A. **Objective 1:** *Increasing the effectiveness of early warning systems to communities at risk of natural disasters in Burma, Thailand, and/or Vietnam.*

The U.N. International Strategy for Disaster Reduction defines early warning system as **the set of capacities needed to generate and disseminate timely and meaningful warning information to enable individuals, communities, and organizations threatened by a hazard to prepare and to act appropriately and in sufficient time to reduce the possibility of harm or loss.** The World Meteorological Organization notes that an effective early warning system has four critical components: 1) detection 2) monitoring and forecasting the hazards 3) analyses of risks involved, and 4) dissemination of timely warnings—which should carry the authority of government—and activation of emergency plans in preparation and response. Early warning systems require an end-to-end approach from the national-level forecasters using all available technologies and analytical tools to the local communities that may find themselves in the path of a major storm or other natural disaster,. Identifying the gaps in the end-to-end chain requires an in-depth local knowledge of the system and good coordination with the local and national agencies involved. Interventions may focus on any of the four critical components listed above. The introduction of new technologies can also strengthen early warning systems. USAID/OFDA supports many early warning system programs in the EAP region and around the world.

Illustrative activities include:

- Innovative solutions to involve private sector with public early warning systems
- End-to-end early warning systems that link local communities to national and sub-national systems
- Technological applications, such as cellular phone text messages, for effective dissemination of early warnings to communities and people at risk, based on strong coordination with and support from national and sub-national disaster management agencies
- Integrating effective media solutions into early warning systems
- Improving forecasting and hazard monitoring capabilities
- Improving capabilities to analyze the risks associated with hazards

B. **Objective 2:** *Improving the preparedness of vulnerable communities to natural disasters in Burma, Thailand, and/or Vietnam.*

Communities are on the front line of disasters. There is growing recognition that community-based approaches to reducing risks at the local level are effective in targeting the most at-risk populations—such as the poor, minorities, disabled, and other groups that are especially vulnerable to disasters—and in introducing a preparedness culture that can save lives and reduce risks when a disaster strikes. The January 2005 World Conference on Disaster Reduction concluded that “disasters can be substantially reduced if people are well informed and motivated towards a culture of disaster prevention and resilience, which in turn requires the collection, compilation, and dissemination of relevant knowledge and information on hazards, vulnerabilities, and capacities.” According to the Global Facility for Disaster Reduction and Recovery, training and educating communities about risks, providing access to resources, and developing community-based preparedness and mitigation is cost-effective. USAID/OFDA supports many community-based DRR programs in the EAP region and other regions.

Illustrative activities include:

- Introduction of innovative solutions and/or new technologies to Community-based Disaster Risk Reduction (CBDRR)
- CBDRR activities, such as education, community vulnerability and capacity assessment, disaster preparedness planning, basic community-level disaster response equipment, and disaster and evacuation simulation
- Community-based, environmentally supportive mitigation activities, such as mangrove forest restoration

Community infrastructure activities will not be considered.

- C. **Objective 3:** *Improving the risk/hazard assessments throughout the country(ies) or in specific highly vulnerable areas of each country in coordination with the lead national government agency and other relevant agencies in Burma, Thailand, and/or Vietnam.*

The level of risk and hazard assessment capability varies greatly across the EAP region. Even in countries with more advanced technologies and resources, weaknesses exist within risk and hazard assessments and maps that require support to upgrade and facilitate the work of disaster management decision-makers and planners. The hazard maps can facilitate the development of building codes, land use and settlement plans, education, awareness-raising, and policy. Hazard assessment studies the frequency and severity of historical natural disasters events, the possible effects of events that could occur in the future, and analysis of the hazards that can be useful for decision makers and planners. Risk assessment takes the hazard assessment a step further and considers exposure to the hazards, vulnerability, and likely impacts on infrastructure,

human settlements and to people in different geographical areas. USAID/OFDA supports many risk/hazard assessment programs in the EAP region and other regions.

Illustrative activities include:

- Innovative solutions for improving hazard/risk assessment
- Innovative solutions for bridging insurance services with vulnerable groups that cannot access insurance, based on hazard/risk assessments
- Introduction of new risk assessment technology
- Upgrading existing hazard maps in a country or for specific areas within a country
- Risk assessment for development and land use planners that bridges public and private sector investment interests
- Assisting disaster management decision-makers to identify new processes for improving hazard/risk assessment
- Linking national and sub-national hazard/risk mapping with community-based hazard/risk mapping and assessments

D. Objective 4: *Improving settlement planning and construction practices that contribute to reducing the risks of vulnerable communities, based on their specific hazard exposure, in Burma, Thailand, and/or Vietnam.*

Vulnerability to disasters is often increased in urban and semi-urban areas of developing countries due to high-density settlements in hazard-prone areas, expansion of informal settlements, unsustainable land use, and overall poor urban planning. In addition, weak government management can exacerbate the situation. Oftentimes, poverty is the underlying factor. The poorest people in urban areas tend to live in the poorest quality housing in the most hazardous locations. Government officials and decision-makers regularly overlook the conditions and needs of the poor when doing settlement planning. The poor are all but excluded from development activities, reflecting in part a view that they are somehow undeserving of full participation as residents and citizens of urban areas. Furthermore, the poor also have the least resilience to rebound from disasters.

Construction techniques are another contributing factor to increased risk to disaster. In some countries, building codes are not adequate or are not enforced adequately to raise the standards of building construction to withstand storms, floods, or earthquakes. In addition, the poorest often have sub-standard housing that is the most vulnerable to disasters. However, simple low-cost improvements and renovations and adherence to well-established building codes can strengthen the resilience of residences and public buildings, such as schools and health facilities, to withstand these natural disaster hazards.

Addressing the issues of construction practices and settlement planning to promote safer shelters and settlements contributes to strengthening disaster preparedness and

reducing risks in urban, semi-urban, and rural areas. DRR activities should increase the resilience of men, women, and children to withstand the impacts of hazards over time. Specific natural disaster hazards require a different approach, which means interventions must incorporate a thorough understanding of the specific hazards faced by the communities. Proposed activities must focus on addressing the underlying causes of vulnerability to hazard risks in affected settlements, and/or increasing the population's resilience to hazard impacts.

USAID/OFDA's DRR programs are guided by the HFA, promoting specific DRR interventions to improve shelter and settlements.

Illustrative activities include:

- Incorporation of structural measures in shelters to reduce identified hazard risks, such as earthquakes, floods, and high winds
- Training support to promote adoption of structural measures
- Promotion of structured technical assistance and rapid capacity building that targets local authorities linking to larger recovery planning and DRR initiatives, for example, at the urban level
- Inclusive public awareness and capacity building activities to ensure that populations learn to live with contextual hazard risk

Proposed alliances and alliance activities should support the USAID/OFDA objective to address the following three cross-cutting priorities:

- *Building Capacity at All Levels* – Capacity building is one of the most important aspects of building national and local resilience and includes all of the training and technical assistance that USAID/OFDA provides throughout the world. Local ownership and leadership of DRR efforts is the ultimate goal of USAID/OFDA-supported DRR efforts and is critical to programs' effectiveness and long-term sustainability.
- *Closing the Gap between Early Warning Systems and Early Action* – During the past 30 years, USAID/OFDA and its partners have worked to establish a number of early warning systems to alert relevant communities about the impending threat of a variety of hazards. One current and future focus is to improve systems and triggers that generate early action to save lives and livelihoods.
- *Creating Partnerships and Joint Action* – DRR is a multifaceted approach that requires long-term efforts. The leadership of partner governments is central to this effort, as is emphasized in the HFA. To multiply the impact of DRR activities, USAID/OFDA endeavors to work in partnership with governments, regional organizations, international organizations, NGOs and civil society, the private sector, and/or militaries, where appropriate.

- E. **Geographic Location:** Each alliance is based in one or more of the following countries: Burma, Thailand, and Vietnam. Among these countries, applicant submissions may address a single country or a group of countries.

III. Concept Paper Instructions and Evaluation Factors

1. Guidelines for Concept Paper

The 2013 GDA APS (<http://www.usaid.gov/work-usaid/get-grant-or-contract/opportunities-funding/global-development-alliance-annual-program>) provides detailed instructions with regard to what should be included in a concept paper. Concept papers may not exceed five pages; concept papers that exceed this limit will be rejected without evaluation. Concept papers should be accompanied by a preliminary budget per the instructions in the 2013 GDA APS. We strongly recommend that applicants consult USAID/OFDA guidelines as they develop their concept papers, paying close attention to the appropriate sectors and sub-sector(s). Information on USAID/OFDA sectors and sub-sectors can be found in the USAID/OFDA Guidelines for Unsolicited Proposals and Reporting (http://transition.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/files/accg/guidelines_for_proposals_2012.pdf).

Applicants are required to submit concept papers by 5:00 PM Washington, DC time on May 8, 2013. The concept papers must be submitted to Elizabeth Stickman at estickman@usaid.gov with a copy to gda@usaid.gov and OFDA_APS_FY13_008@ofda.gov. Please annotate all correspondence with regard to this Addendum with the following subject line of the correspondence/e-mail: GDA-APS-OAA-13-000003.

After the concept papers are reviewed, applicants will receive notification from USAID/OFDA as to whether the concept paper warrants further consideration. If the concept paper warrants further consideration, USAID/OFDA will contact the applicant and partners to discuss the proposed alliance and explore whether and how USAID/OFDA might work with the partners to develop and implement such an alliance. If discussions are productive and USAID/OFDA determines a full application is warranted, a USAID Agreement Officer will provide instructions on how to proceed with a full application, including specific criteria that will be used to evaluate such an application. In addition, any full application requested by USAID/OFDA must comply with the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*, unless otherwise indicated by the Agreement Officer.

2. Evaluation Criteria

In addition to the criteria set forth in the 2013 GDA APS (<http://www.usaid.gov/work-usaid/get-grant-or-contract/opportunities-funding/global-development-alliance-annual-program>), concept papers will be evaluated based on the following criteria:

1. Community Awareness and Engagement: Concept papers should contain a strong analysis of the potential impact of the program on communities, and applicants should demonstrate a willingness to work directly with relevant local government offices, community leaders, and practitioners within the local communities. Applicants must demonstrate how community participation helps develop the activities presented in the application. Concept papers should demonstrate knowledge of other organizations and/or programs undertaking related DRR programs in the target area. Should a concept paper include implementing partners for any of the proposed activities, the applicant must demonstrate that the proposed activities were discussed with and agreed to by those implementing partner(s) and, to avoid duplication of efforts, that adequate consultation has occurred between the applicant and implementing partner(s). Programs are encouraged to promote interaction and cooperation across a range of stakeholders and partners, including governmental agencies, non-governmental organizations, and community groups, and demonstrate how the proposed activities will complement other planned or ongoing initiatives among those agencies.

2. Contextual Knowledge

- a) Experience in DRR in the target countries within the past five years
- b) Demonstrated understanding of the political, cultural, social, and institutional norms in the targeted countries
- c) Clear understanding of the specific vulnerabilities in the targeted countries
- d) Demonstrated commitment to supporting local institutions in program planning and implementation
- e) Demonstrated descriptive understanding of the role gender plays and a plan for achieving gender-integration and balance

Proposed alliances should be consistent with USAID legal and policy restrictions, including those set forth in USAID's Automated Directives System (ADS) and in the Foreign Assistance Act of 1961.

Any questions regarding this Addendum should be submitted to Elizabeth Stickman at estickman@usaid.gov with copy to OFDA_APS_FY13_008@ofda.gov.

Any questions regarding the terms and requirements of the 2013 GDA APS should be submitted to Ken Lee at kenlee@usaid.gov, with copy to Elizabeth Stickman at estickman@usaid.gov and OFDA_APS_FY13_008@ofda.gov.