Subject: Request for Application Number: 7200AA22RFA00019

Program Title: Asia Resilient Cities (ARC) Activity

All Interested Parties:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the Asia Resilient Cities (ARC) activity. Eligibility for this award is not restricted.

USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this Notice of Funding Opportunity (NOFO) subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.5.e. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in
preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant’s expense.

Thank you for your interest in USAID programs.

Sincerely,

/S/

Trenae Bonner
Agreement Officer
M/OAA/RM/AEM
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SECTION A: PROGRAM DESCRIPTION

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700, as well as the additional requirements found in Section F.

A.1 INTRODUCTION

Urbanization is a key feature of the 21st century as people continue to move into cities. Asia’s urbanization rate, the growth of the urban population over time, is projected to reach 64 percent by 2050.¹ Asia is also home to the largest number of urban dwellers globally. Therefore, developing livable and sustainable cities is critical for the region’s future growth. Policies that promote the use of technology, data, and innovation to make urban services inclusive and sustainable will be critical and should be considered in all of our investments. Urbanization in Asia, if done well, can improve health and living conditions and enhance economic livelihoods while creating opportunities for achieving sustainable development.

Secondary cities² tend to experience rapid growth consistent with the fast pace of urbanization in the region, and they offer opportunities to advance a more inclusive, resilient, and climate-positive development model. Secondary cities have the potential to be solution incubators, modeling new approaches that can subsequently be replicated in other cities. The Asia Resilient Cities (ARC) activity will address urban development challenges in three or more secondary cities (one city per country) by fostering sustainable urban growth; resilient, low-carbon urban infrastructure and service delivery through good governance; and the integration of climate change and environmental considerations throughout urban collaborative approaches. Coordinated cross-sectoral collaboration is vital to sustain healthy urban development. ARC will test, iterate, and scale effective system-based and cross-sectoral approaches with partner cities to address their urban development challenges.

A.2 BACKGROUND AND PROBLEM ANALYSIS

The ARC activity is a five-year cooperative agreement with the anticipated start of performance around July 15, 2022. ARC will work with three or more cities (i.e. one city per country) in Asia to address their most pressing urban development challenges. Countries for consideration under this award include, Bangladesh, India, Indonesia, Kyrgyz Republic, Mongolia, and Vietnam. While the approach taken in each city will be unique, underpinning all implementation will be participatory

¹ “The region’s population is expected to increase from 1.84 billion in 2017 to 3 billion by 2050, with a projected urbanization rate of 64%” from “100 Climate actions from cities in Asia and the Pacific,” an Asian Development Bank publication, June 2021.

² The definition of secondary cities is contextual and varies by country context, but often relates to population size (less than 5 million), and sub-national economic or political influence in relation to larger “primary” cities. Please see section A4 in this document for further information.
governance, sustainable financing, and cross-sectoral systems approaches, defined below:

- **Participatory urban governance:** This is a process through which societies identify, conceive solutions for, and address issues by including views, feedback, and input from government and non-government groups, institutions, and individual residents. Urban governance systems engage public and private sector stakeholders to meet the needs of residents\(^3\), including those who may be underserved. Effective approaches empower those who are underrepresented to provide input and allow for accountability, transparency, and open, dynamic and iterative stakeholder engagement over time, balancing experience-driven execution with participatory processes in responding to emerging needs and issues.

- **Sustainable financing:** Partner cities will have the ability to optimize the overall financing system - this includes generating evidence via financial management systems to enable efficient resource mobilization, pooling and allocation. Cities will develop a fair, equitable, and transparent revenue base that will generate sufficient revenues to deliver social services as well as those resources required to improve, repair and maintain urban infrastructure. Approaches may include routine or special disbursement from federal or state government or supporting the effective collection of taxes in a fair and equitable manner to support municipal services and infrastructure, including developing fair and equitable user fee systems, where appropriate, to complement the tax base.

- **Cross-sectoral systems approaches:** Coordination across siloed sectors can be difficult but leads to accelerated progress and can reveal new approaches to long-standing challenges. Implementation in each city will be through cross-sector collaboration to foster a systems approach to address urban challenges. Relevant sectors for collaborative efforts include, but are not limited to: health, education, economic growth, food security, democracy and governance, and energy and environment. Systems analysis and mapping will be utilized to identify strategic lines of effort across traditionally siloed sectoral actors when designing specific approaches.

Activity approaches will incorporate the following three methodologies:

1. Implementation as specified above will be co-designed and implemented with partner urban stakeholders, including residents, in direct response to the unique challenges identified by the partner cities;

2. The activity will ensure systematic collection of data and analysis to inform the co-design of the approaches in each city; to conduct rigorous Monitoring, Evaluation, Research and Learning (see MERL section below); and will create learning opportunities and products to be shared across participating cities throughout the period of performance; and

3. The activity will build the capacity of local stakeholders (government, non-governmental institutions, and individuals) to plan for and respond to future urban challenges by transferring new skills, developing systems and toolkits, and facilitating cross-city learning (e.g. exchange trips, meetings, and other fora).

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\(^3\) Approaches should be inclusive of all people living in the urban areas selected for implementation, regardless of citizenship status.
This program description does not prescribe how this work is to be accomplished but provides potential implementing partners with the flexibility to develop cost-effective solutions, propose innovative approaches, and bring their creativity and expertise to the activity design and implementation. Activity methodologies should be informed by past experience, available evidence, location specific frameworks, and participatory co-design with diverse urban stakeholders.

Direct beneficiaries of ARC will be urban stakeholder partner institutions that participate in the activity, including municipal governments, civil society organizations, and public and private sector providers of municipal services. As a result of engagement with diverse stakeholders, benefits will indirectly extend to other residents living in selected secondary cities, including marginalized populations such as migrants, ethnic and gender minorities, youth, informal sector workers, and residents of informal settlements.

USAID has identified the following focal areas that may be addressed through this activity’s system-based, cross-sectoral approaches. This list is not meant to be exhaustive, and it does not mean that all areas are required to be addressed in each selected secondary city. The award recipient will determine site specific areas and approaches based on a post-award co-creation process with urban stakeholders, on evidence gathered about the needs of the specific city, and guidance from the country’s USAID Mission. Potential focal areas include, but are not limited to:

- Equitable access to quality, affordable social services (e.g. health, including support for survivors of gender-based violence (GBV), education, etc.);
- Sustainability of the urban environment, especially energy and other natural resource use (water and green spaces), and climate change related issues (e.g. urban heat);
- Addressing the unique needs of rural to urban migrants and residents of informal settlements;
- Economic development that stimulates business and job creation (e.g. “care economy” opportunities for women and youth);
- Enhanced food value chain resilience and improved access to nutritious food;
- Local policy initiatives;
- Sustainable municipal financing modalities; and
- Urban stakeholder capacity at the individual and institutional levels.

Note: Infrastructure construction activities as defined in ADS 201maw/ADS303maw will not be considered under any of the above activity methodologies.

A.3 ACTIVITY PARAMETERS

Applicants will propose a selection of collaborative approaches that work towards the goal and objectives described below. Final city selection and each city’s unique approach and objectives will be determined during post-award co-creation with urban stakeholders and the country’s USAID
Mission. While the problem set and implementation in each city will be unique, underpinning all approaches should be participatory governance, sustainable financing, cross-sectoral perspectives and the three methodologies outlined above.

Following award, the primary awardee will work with national governments, municipal governments, and USAID Missions to create a short-list of potential cities for implementation. The awardee will collaborate with each city to develop proposals that will help to address the unique challenges identified by city stakeholders. Following the submission of final city proposals to the awardee, the awardee and USAID will select three or more cities (i.e. one city per country) for activity implementation.

Once these cities are selected, the primary awardee will convene a post-award co-creation workshop in each city to refine and finalize approaches. The municipal government and potential sub-awardees (e.g. local partners, private sector, civil society, and other relevant stakeholders) will be important participants in these co-creation workshops. The final approach for each city will align with the applicable USAID Mission Country Development Cooperation Strategies, national government priorities, and municipal government priorities where applicable. For more details see section A.4 Geographic Focus.

Objectives below describe the end-states envisioned for urban spaces by this activity. During the post-award co-creation phase, each city’s unique approach may aim to work towards achieving one or more of these objectives. Targets describe how the activity will demonstrate its support to urban stakeholders as they progress towards the objective end-state. Targets are illustrative and do not detail benchmarks. The Activity Monitoring, Evaluation, Research and Learning Plan (AMERLP) will be co-developed by the implementing partner, USAID Missions, and the Bureau for Asia. The plan will include indicators and targets that are specific to each city of implementation and that measure progress across cities. The AMERLP will also describe the evidence-based approach to achieving the activity objectives and how new evidence will be both utilized and generated throughout the activity’s lifecycle (please see MERL and Learning Agenda below). Implementing partner(s) will be encouraged to design innovative methodologies towards meeting the activity objectives. These innovations may include digital solutions, systems thinking, and behavioral science inspired nudges.

- **Objective 1 - Resilient infrastructure and services.** The activity will work with cities to improve the availability and quality of municipal services and help develop a roadmap that emphasizes low-carbon, resilient urban infrastructure and municipal services (e.g., power, transportation, health, waste management, education, etc.) that are equitable, accessible, affordable, and responsive to dynamic, urban population demographics.

  - **Illustrative Intermediate Results for Objective 1:**
    - City residents, including marginalized populations, are increasingly involved in decision-making about services and are accessing and utilizing quality, affordable services;
- Municipalities apply best practices and state of the art municipal infrastructure planning skills and tools (including capacity building and toolkits) to improve quality and accessibility of municipal services.

**Objective 2 - Harnessed economic growth.** Economic growth leverages the economic power of all – including women, men, youth and marginalized populations who face systemic inequities in pursuing their own economic stability. Partner cities will have the ability to create enabling environments that will facilitate inclusive business formation and provide a living wage and exclude opportunities for corruption.

- **Illustrative Intermediate Results for Objective 2:**
  - Cities have improved their ability to nurture and maintain a vibrant business environment that allows for existing enterprises to grow and new entrepreneurial ventures to form;
  - Marginalized populations, including women and youth, have the skills to access better jobs that provide living wages and to create businesses that enable them to move from the informal to the formal economy.

**Objective 3 - Climate change and environment.** Climate change impacts all sectors of the urban environment. Partner cities will have the capacity (training, tools) to integrate climate change and environmental considerations in urban planning processes through cross-sectoral programmatic approaches.

- **Illustrative Intermediate Results for Objective 3:**
  - Improve the capacity of urban stakeholders to dynamically monitor diverse indicators, e.g., air quality, disaster risk, urban heat vulnerability, and related environmental factors;
  - Cities have improved ability to utilize environmental data to design and implement effective and inclusive climate change adaptation and mitigation strategies that advance the resilience of partner cities.

In accordance with Automated Directives System 201, the Offeror must provide a theory (or theories) of change, which is a narrative description of how and why an objective or result is expected to be achieved based on the proposed technical approach in a particular context. The Offeror may also include a logic model—a graphic or visual display of the activity’s theory(ies) of change—to show the logical relationships between what the activity will do and the changes it expects to affect.

**A.4 GEOGRAPHIC FOCUS**

ARC will work with three or more cities (one city per country) in Asia to address their most pressing urban development challenges. Countries for consideration under this award include Bangladesh, India, Indonesia, Kyrgyz Republic, Mongolia, and Vietnam. Asia region countries not listed in this “short-list” will not be excluded from future activity implementation but will not be engaged during the initial selection of cities where the first set of collaborative approaches will be launched.
The implementing partner(s) must have an ability to operate on a regional scale in Asia across a selection of the countries noted above. The activity should aim to work in secondary cities with the exception noted below:

- The definition of secondary cities is contextual and varies by country, but often relates to population size (less than 5 million), and sub-national economic or political influence in relation to larger “primary” cities.

- For the purpose of this activity, a “primary city” with a population under 5 million people may be considered for inclusion if there is considerable need that meets the project goals and objectives, and strong engagement from the municipal government.

The purpose of specifically partnering with secondary cities is to engage in their rapid growth consistent with the fast pace of urbanization in the region, and the opportunity that they offer to advance a more inclusive, resilient, and climate-positive development model. Secondary cities have the potential to be solution incubators, modeling new approaches that can subsequently be replicated in other cities. People moving within their own country from rural to urban areas often first arrive in a secondary city as they seek economic, professional, social and cultural opportunities. Secondary cities provide an opportunity for USAID assistance to make a significant impact in smaller urban landscapes while collaborating to model programs and activities that could be refined and adapted for larger urban populations.

Additionally, this activity may choose to explore partnerships with public and/or private regional, national or municipal level initiatives. For example, Smart City initiatives are often incubators for the integration of digital technologies into urban systems. When accompanied by a formal governance structure, e.g. a municipal corporation or board of directors, smart city platforms have demonstrated their ability to link otherwise siloed municipal departments (e.g. water, sanitation, infrastructure, health, education, security, etc.) in problem identification, program planning, implementation. Smart Cities also provide an opportunity to integrate data systems and decision-making to provide equitable access to services.

Post award city selection and co-creation should align with the applicable USAID Mission priority geographies, Country Development Cooperation Strategy (CDCS), and both national government and local government priorities. City selection and activity implementation will require ongoing and recurring work planning sessions with the AOR and relevant USAID technical teams. Expressions of interest should align with USAID Mission’s geographic and technical priorities to the extent possible, as outlined below:

**Bangladesh**

**Technical Scope:** Municipal finance; private financing for municipal services; climate resilient infrastructure planning; municipal waste and sewage management; safeguarding natural resources of cities; road traffic planning and management; livelihood for climate migrants; capacity building of municipalities to host domestic climate migrants; research and policy development for climate migrant
friendly cities. Scope should be based on the final selected approach objective(s) and the capacity and interest of that particular town authority.

**Geographic Scope:** Towns/municipalities (aka pourasabha in Bangla) from the interior coast of Bangladesh, mainly within Khulna and Barishal division, considering the climate change-induced internal migration pressure on those areas.

**India**

**Technical Scope:** Activities should focus on advancing sustainable and inclusive urban development through programming in health (i.e. health systems strengthening); WASH (i.e. urban water management, solid and/or plastic waste management, etc.); disaster and climate resilient infrastructure; and other sectors such as housing and transportation, that particularly impact women and girls, youth, people with disabilities, migrant workers, those residing in informal settlements, and other underserved communities in secondary cities.

**Geographic Scope:** Suggested geographic areas of focus include secondary city/cities prioritized by the national government, including the Atal Mission for Rejuvenation and Urban Transformation (AMRUT) cities and 100 Smart Cities.

**Indonesia**

**Technical Scope:** Climate resilience activities, including using Smart Cities technologies to foster climate resilience while improving the lives of the poorest 40 percent of urban residents, especially women and other marginalized groups; mobilizing municipal finance for climate-resilient infrastructure; integrating climate risk analysis into urban planning; and/or advancing sustainable urban development near essential ecosystem areas or marine protected areas.

**Geographic Scope:** East Java, Banten, North Sumatra, South Sulawesi, East Nusa Tenggara, Papua, and West Kalimantan.

**Kyrgyz Republic**

**Technical Scope:** Understanding and mitigating the causes of severe air pollution (Bishkek has some of the worst air pollution in the world); enhancing participatory governance and city planning; expanding resilient and inclusive infrastructure/services, especially for water, sanitation and waste management; enabling the development of local solutions and financing to address climate issues at the municipal level; and building Bishkek’s capacity to attract tourists.

**Geographic Scope:** Bishkek

**Mongolia**

**Technical Scope:** Urban challenges include but are not limited to a lack of adequate urban planning and infrastructure investments, large peri-urban settlements (ger areas) which suffer from a lack of paved roads, piped water supply, wastewater collection and treatment, and social service facilities, as well as overall poor air quality. Coordination with ongoing efforts in the areas of food security (greenhouses and supporting industry development), strengthening civil society and media,
renewable energy, climate change adaptation and response, and small and medium enterprise capacity building.

**Geographic Scope:** Ulaanbaatar, Erdenet, Darkhan

**Vietnam**

**Technical Scope:** Activities that strengthen the regulatory framework for a digital economy and innovation ecosystem focusing on a responsible digital transformation and broadening opportunities for the development of new technology; expand workforce development initiatives to increase job opportunities and lower digital divides for gender, youth, and other marginalized groups; and enhance the ecosystem linking corporations, startups, incubators/accelerators and research centers.


**A.5 SUMMARY OF RELEVANT USG AND DONOR ACTIVITIES**

USAID sees cities as engines of economic growth and is striving to work more closely with them to address challenges and create new opportunities for urban populations. Considering the large and continually growing urban population in the Asia region, it is imperative for the U.S. to demonstrate ongoing leadership and prioritize the increased challenges of urban development in order to improve development outcomes. These urban challenges include equitable delivery of services, fostering a business-enabling environment, and adapting to climate change while accelerating adoption of clean, renewable sources of energy.

The [Building Healthy Cities (BHC) project](#) improves the urban environment and simultaneously improves health outcomes by increasing municipal service capabilities in four Smart Cities: Indore (India), Makassar (Indonesia), Da Nang (Vietnam), and Kathmandu (Nepal). Activities include working with municipal corporations, municipal Smart City Initiatives and citizen groups to address health challenges through participatory systems mapping and political economy analyses. Based on these tools, stakeholders are encouraged to prioritize health approaches and, from a governance and financing lens, begin using existing information systems and datasets to make decisions that can improve health services and health outcomes. With air pollution exacting an increasing toll on the health of urban populations, this activity also tests how small policy changes affect air quality. BHC demonstrated significant benefits associated with strategic stakeholder engagement and systems thinking. The program convened systems mapping workshops that explored the interconnected nature of urban spaces, institutions, practices, and agents. The resulting causal loop diagrams revealed unique insights, aligned stakeholders toward shared objectives, and laid the foundations for cross sectoral cooperation to address urban health challenges.
USAID/Philippines launched the Climate Resilient Cities activity in October 2021. The 5-year project seeks to improve resilience by strengthening the capacities of cities to adapt to, mitigate, and manage the impacts of climate change. Project activities are designed to enhance stakeholders’ knowledge on climate information for planning and decision-making; improve capacity to access and manage climate finance; and broaden the adaptation and mitigation interventions through implementation of natural climate solutions.

The Clean Air Catalyst (CAC) program, launched in 2020, seeks to develop locally tailored, self-reliant solutions that cut air pollution and improve human health in cities in LMICs. The CAC partnership, active in Indore, India and Jakarta, Indonesia, brings together diverse local stakeholders to address critical information gaps, to build confidence and trust in air pollution information and to advance and institutionalize lasting solutions.

The Clean Cities, Blue Oceans project, launched in 2019, targets ocean plastics by strengthening waste management systems and building circular economies in cities. The program aims to empower vulnerable populations and mitigate pollution that affects human health and the climate.

The Green Cities activity aims to foster healthy, prosperous, and resilient cities for all people and the planet. Green Cities will provide a broad, flexible global support mechanism to advance multiple development objectives by harnessing the innovation and economic growth of cities to create healthy, resilient communities for all people to realize sustainable livelihoods. The mechanism will draw on specialized, best-in-class expertise to modernize and scale USAID’s urban programs, enable USAID to invest in “green city” strategies for five critical urban transformations: advancing net-zero systems; increasing urban resilience; reducing pollution and waste; improving local governance and equitable access to services; and mainstreaming inclusive green jobs, and to build the knowledge base for sustainable urban development within USAID and across developing cities and urbanizing areas.

The Municipal Waste Recycling Program focuses on reducing land-based sources of marine plastics pollution in Indonesia, the Philippines, Sri Lanka, and Vietnam. USAID’s funding has supported research initiatives to pinpoint technologies that are appropriate for local communities and improve decision-making processes for urban solid waste management and recycling. The program’s grants strengthen local capacity building to effectively manage solid waste while broadening recycling through mechanisms that promote social inclusion, empower women and youth, support independent waste collectors, and generate jobs and economic growth.

A.6 STRATEGIC CONSIDERATIONS
   a. Gender Equality and Social Inclusion (GESI)
Gender integration into this activity will be guided by the Women’s Entrepreneurship and Economic Empowerment Act of 2018; USAID’s Gender Equality and Women’s Empowerment Policy; and ADS 205, which all require integration of gender across USAID’s program cycle and related processes for purposes of strategic planning, activity design and implementation, monitoring, and evaluation. All activities will be shaped by a contextually-specific gender analysis so that programming can strategically reduce gender disparities; strive to eliminate gender-based violence and mitigate its harmful effects; increase women and girls’ capabilities to fully exercise their rights, determine their life outcomes, exercise leadership roles, and influence decision-making at all levels; and pursue other strategic gender priorities as relevant to the activity.

In addition, this activity will utilize an inclusive development approach to ensure that all people are included and can participate fully in and benefit from development efforts. Specifically, the activity will incorporate considerations related to marginalized groups, including but not limited to persons with disabilities, indigenous peoples, and gender and sexual minorities. The components and approaches proposed in this activity must recognize the importance of an inclusive lens and range of regional gender and other social dynamics to ensure inclusive urban development and programming for marginalized groups. The awardee will conduct an independent gender analysis prior to finalizing the activity design and may design a Gender Action Plan based on gender analysis findings, as well as assessments to evaluate indigenous resettlement concerns.

Activity design features are encouraged to include the following GESI elements in line with the 2020 USAID Gender Policy, the 2021 National Strategy on Gender Equity and Equality, and related implementation guidance:

- Participatory design and implementation
- Community based monitoring
- Capacity building with an inclusive, gender-based lens
- Expansion and equitable access of service delivery with an inclusive, gender-based lens
- Using evidence and data to drive decision-making

b. Local Systems

Proposed approaches should not only be designed to achieve clear and measurable results, but also should be aimed at strengthening local systems so that local actors continue to sustain key results after the activity ends. Approaches should be proposed, then finalized during city specific co-creation, to align with the priorities of local actors; leverage local resources; and increase local implementation over time to sustain positive changes. While highly encouraged (where practical and feasible), use of local systems is not just limited to direct funding of partner governments or local NGOs; it also includes building the capacity of partner government service providers or local NGOs, leveraging USAID’s influence and convening power, facilitating local service delivery, and mobilizing domestic resources, among other tactics.

- **Locally led development:** The implementing partner should suggest a “co-creation” approach to engagement with urban stakeholders to explore urban development challenges and identify cross-sectoral solutions. Technical assistance can include,
among other approaches, supporting municipalities to contract services out to local providers.

● **Local systems lens:** The activity should take a systems strengthening approach to project implementation to ensure sustainability of outcomes. Examples could include new collaboration between urban stakeholders, new data generation and analysis capacity, and changes to the policy environment to address urban challenges.

● **Local capacity development:** The activity should involve capacity building of local actors including government partners, civil society organizations, neighborhood associations, and public or private sector service providers.

c. **Sustainability**

Secondary cities tend to experience rapid growth consistent with the fast pace of urbanization in the region, and they offer opportunities to advance a more inclusive, resilient, and climate-positive development model. Secondary cities have the potential to be solution incubators, modeling new approaches that can subsequently be replicated in other cities. The ARC activity will address urban development challenges by fostering sustainable urban growth; resilient urban infrastructure and service delivery; and the integration of climate change and environmental considerations throughout urban collaborative approaches. Coordinated cross-sectoral collaboration is vital to sustain healthy urban development. ARC will test, learn, and scale effective system-based and cross-sectoral approaches to address partner city urban development challenges. To ensure long-term sustainability post-award, applicants must propose a phased handover plan that demonstrates eventual municipal ownership of all approaches taken. This plan will include an anticipatory timeline for handover and a description of how the applicant will integrate handover into yearly work plans, including post-activity budget planning with municipal government, private sector, and other local stakeholders.

d. **Summary of Relevant USG and Donor Activities**

In 2013, USAID launched its urban policy, Service Delivery in an Increasingly Urbanized World, outlining four key approaches to help Missions design urban development-centered programs to improve service delivery and increase access to resources. These four principles are:

1. Ensuring political and financial sustainability. The Policy outlines key principles to promote financial viability, country ownership, and continuous monitoring of service delivery quality.

2. Advancing accountable, pro-poor service delivery models. In light of the growth of urban poverty, the Policy provides new approaches to advance inclusive urbanization and development of pro-poor urban services. Women, children, male and female youth, and the disabled should receive particular attention given that they are disproportionately affected by urban service gaps.
3. Fostering market orientation and public-private collaboration. USAID technical assistance would be improved by focusing on improving local investment climates and leveraging market financing to scale up viable urban service approaches and technologies.

4. Supporting municipal resilience. USAID Missions should continue to adjust their programming to increase local self-reliance through supporting improved local revenue collection and the long-term maintenance of infrastructure, including “climate proofing” to adapt to current and prepare for future climatic changes, including increased flooding, more frequent and intense storm events, abnormal heat waves, rising sea levels, and other impacts of climate change that affect cities and their populations.

Central to the policy is the emphasis on local capacity supplemented by three policy directions: Leveraging financial sustainability to expand accessibility and quality of services; leveraging the distinct advantages of an urban approach to achieve larger Agency objectives; and enhancing geographic focus and selectivity by improving targeting and offering tools to gain a deeper understanding of subnational issues that shape project sustainability.

The World Bank

The World Bank’s work in urban development aims to build sustainable cities and communities through an urbanization process that is green, inclusive, competitive, and resilient, contributing to the Sustainable Development Goal (SDG) No.11, implementation of the New Urban Agenda, as well as the World Bank’s goals to end extreme poverty and boost shared prosperity.

The World Bank invests around US$5 billion in planning and implementing lending projects on sustainable cities and communities annually, with a current portfolio including over 225 projects amounting to at least US$29.74 billion. The Bank has adopted four priorities in urban development, which are:

1. Enhance Planning System and Local Capacity
2. Strengthen Fiscal and Financing Systems
3. Promote Territorial and Spatial Development
4. Build Climate Smart and Urban resilience

Asia Development Bank

The Asian Development Bank’s (ADB) is a regional development bank focused on promoting development in the Asia region. The bank’s lending in the urban development sphere focuses on infrastructure, and has primarily gone towards projects involving water supply and sanitation, and multi-sectoral initiatives in water supply, sanitation, solid waste, informal settlement upgrading, and urban transport. The ADB approaches urbanization on the premise of making cities more livable, and includes two broader approaches: transformative opportunity and supporting the global agenda with city-level plans. Transformative opportunity refers to
recognizing the overall potential that cities possess and viewing cities as eventually serving as economic powerhouses and innovation hubs to improve livelihoods and drive prosperity. The second approach, supporting the global agenda with city-level plans, refers to helping cities understand their unique challenges and opportunities and prepare their own visions, plans, and road maps through an integrated approach for cities to become more livable.

The UN ESCAP, in partnership with UN HABITAT, The Rockefeller Foundation, ADB, UNDP, The Center for Liveable Cities, and the International Urban Cooperation, produced the 2019 report “The Future of Asia-Pacific Cities” highlighting four key policy essentials that cities must undertake in order to deliver sustainable urban development. Collectively, these Policy Pathways touch on the future of urban and territorial planning, urban resilience, smart and inclusive cities, and urban finance. The premise behind the publication is to encourage careful planning when it comes to cities, as the major role they play in supporting a sustainable and inclusive future in the region can depend on decisive action in urban centers across Asia and the Pacific.

e. Environmental Compliance Considerations and Climate Change Integration

As required by 22 CFR 216 an Initial Environmental Examination (IEE) and Climate Risk Assessment (CRA) have been reviewed by Regional Environmental Adviser and approved by the Asia Bureau Environmental Officer (BEO). The IEE (ID No. AA-320015) has been categorized as Negative Determination with Conditions. The mandatory climate risk assessment was completed as part of the Asia Resilient Cities design process and identified moderate to high climate-related risks associated with this activity. This assessment was part of the approved Initial Environmental Examination (IEE), and climate risk management measures will be integrated into the Scope of Work of the Cooperative Agreement Awardee for this activity and any sub-agreements with local organizations funded through the co-creation process, as well as in the Activity Monitoring, Evaluation, Research, and Learning Plan.

Cities face significant impacts from climate change, both now and into the future. These impacts have potentially serious consequences for human health, livelihoods, and assets, especially for the urban poor, informal settlements, and other marginalized groups. As dynamic systems that face unique climate impacts, adaptation strategies adopted by cities must be location specific and tailored to local circumstances. The starting point in managing risks and building long-term resilience is for a city to understand its exposure and sensitivity to a given set of impacts, and develop responsive policies and investments that address these vulnerabilities.

A resilient city is one that is prepared for existing and future climate impacts, thereby limiting their magnitude and severity. Once an impact occurs, a resilient city is able to respond quickly and effectively, in an equitable and efficient way.

The draft USAID Climate Strategy emphasizes targeted direct action to confront the most urgent demands of the climate crisis as well as transforming systems to both avert the worst impacts and build resilience to impacts already looming. Climate action in urban areas cuts across all
elements of the Strategy and is critical to achieving USAID's climate commitments. This activity should advance interventions to integrate climate-positive practices across relevant sectors of the urban economy, incorporate measures to support resilience of natural resource systems, and advance equity and inclusion principles of the Agency.

The IEE and CRA shall be periodically reviewed to ensure activities do not require additional modification to the status of these documents.

f. Host Government, Donor, and other Counterpart Collaboration

ARC will collaborate closely with government and non-government groups, institutions, and individual residents. Key stakeholders and direct beneficiaries of ARC will be partner institutions that participate in the activity, including municipal governments, civil society organizations, and public and private sector providers of municipal services. As a result of engagement with diverse stakeholders, benefits will indirectly extend to other residents living in selected secondary cities, including marginalized populations such as migrants, ethnic and gender minorities, youth, informal sector workers, and residents of informal settlements. Once cities are selected for activity implementation, the primary awardee will convene a post-award co-creation workshop in each city to refine and finalize approaches, including government and other stakeholders. The municipal government and potential sub-awardees (e.g. local partners, private sector, civil society, and other relevant stakeholders) will be important participants in these co-creation workshops. Final collaboration and partnerships will be determined during these co-creation workshops.

A.7 MONITORING, EVALUATION RESEARCH AND LEARNING

As noted in section B1, evidence and learning are at the center of the activity. This includes the generation and use of evidence for co-creating each city’s unique approach and for capacity building of stakeholders to gather and use evidence for decision making.

Prior to implementation, the IP will develop an Activity Monitoring, Evaluation, Research, and Learning Plan (AMERLP), including a Learning Agenda, cooperatively with USAID while also involving relevant stakeholders. To develop the AMERLP, the awardee will conduct assessments and research during each city’s co-creation workshop, as well as conduct ongoing MERL during implementation. It is anticipated that the AMERLP will be produced and revised iteratively. The AMERLP shall include a strong learning component, so that findings from research, assessments and other MEL processes are used to strengthen overall activity implementation. The recipient shall ensure that the deliverables in the AMERLP meet all ADS requirements. Below is a list of activities and products to be included in the AMERLP:

a) Co-determination of learning priorities and questions

- Consideration of Agency-wide and country specific learning priorities
b) Data collection and analyses

- Assessments and research to be conducted before co-creation
- Potential baseline data collection
- Selection of performance monitoring indicators and determination of targets, as per Agency and ADS requirements (including Agency priorities and policies, as for example gender and climate change.)
- Collection and analysis of data to fulfill Agency and ADS requirements and to support research, learning and adaptive management during the activity, including:
  - Collection and analysis of performance and context data for accountability and learning
  - Collection and analysis of data about the local systems, including social network analyses
  - Collection, rendition and analysis of geospatial data
  - Defining resilience contextually and tracking progress towards resilience
  - Collection and analysis of data for internal evaluation, research and learning

c) Other ME activities

- Performance monitoring (indicators and narratives) reporting requirements (please see “Reporting” in A.8, below.)
- Collection of beneficiary feedback
- Facilitation of site visits
- Collaborate with external evaluation activities (for example, an impact evaluation, if needed and feasible, would require collaboration with an external evaluator to determine the appropriate counterfactual and baseline data collection during the co-design process; an evaluation started before the activity ends might require access to beneficiaries and stakeholders)

d) Dissemination and learning

- Formative learning products must be produced at least annually, throughout the implementation of the activity
- Formative learning products must be disseminated using appropriate media, including workshops and presentations (including to local stakeholders and facilitation of cross-cities learning)
- Summative learning products including compilation lessons learned from assessments, research and MEL activities (as in b. above) must be produced half way and at the end of the activity. They may also include academic publications, blog posts and toolkits (as per pillar 3).
• Summative learning products must be disseminated using appropriate media, including workshops and presentations (including to local stakeholders and facilitation of cross-cities learning). This includes presentations to USAID.

A.8 REPORTING REQUIREMENTS

a. Program Reporting

Annual Work Plan: Based on this Program Description, the recipient shall prepare and submit a detailed annual work plan to guide the implementation process with a breakdown of activities and timelines and anticipated progress in the achievement of the activity results (consistent with the AMERLP), as well as the associated costs. The recipient shall ensure a collaborative process in work plan development, consulting participants, partners, USAID and other relevant stakeholders in preparing the annual work plan to ensure complementarity and shared ownership.

The year one work plan will be developed following each city co-creation workshop. Important stakeholders to provide input to the work plan include municipal government, local partners, private sector, civil society, and the USAID Mission. Subsequent year work plans will be developed based on learning gathered throughout the prior year of implementation, exchange visits, learning workshops, and other feedback that will allow for the approach to continually meet changing needs.

In addition, the AOR may work with the Recipient to define particularly relevant sections of the work plan that would enhance implementation, such as key assumptions and risks (as well as plans to mitigate and update these), lessons learned and work plan adjustments going forward.

Quarterly Reports: The Recipient shall facilitate quarterly discussions with the Asia Bureau management team and AOR. These discussions will be a forum for updates, questions, feedback, and joint planning. Each discussion should be accompanied by a powerpoint presentation and any other relevant materials that describe quarterly achievements, progress against the work plan, challenges, opportunities, and questions/topics for discussion. A format for the quarterly discussion and presentation slides shall be approved by the AOR. The quarterly discussion and power point presentation shall describe and report progress to date for performance indicators as per the AMERLP. The quarterly discussions and presentations shall also describe the accomplishments of the Recipient and the progress made during the past quarter; include information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, subcontracts, and grants).

The quarterly discussion and presentation provides the opportunity to discuss impacts of learning on the program, updates in key assumptions and the underlying development hypotheses. Also, notification shall be given in the case of problems, delays, or adverse conditions which
materially impair the ability to meet the objectives of the award or which may have an impact on the development hypothesis or theory(ies) of change for the activity, and/or other activities (USG-funded or not) which might be informed by such learning. This notification shall include the action taken or contemplated, and any assistance needed to resolve the situation. The Recipient shall also prepare a quarterly financial update showing the amount of funding and level of effort spent and accrued during the quarter, cumulative spending, and estimates for the next quarter. Quarterly discussions are to be held at an agreed upon time in consultation with the AOR. The quarterly discussion, presentation slides, and financial reports are to be submitted to the AOR within 30 days after the end of each fiscal quarter.

**Annual Report:** Annual performance reports on the program activities and progress against indicators are the responsibility of the Recipient and are needed by USAID/Asia Bureau to provide timely input to the Performance Plan and Report (PPR) and other reporting requirements, as specified in the AMERLP. The annual performance report must cover activities and results through the end of the fiscal year, and should review the cumulative experience, learning, adaptations and the implications of these for the year. Annual reports will include details on progress towards the handover plan. The draft annual performance reports must be received by USAID 15 days after the end of each activity year and the draft final report no later than 30 days after the end of the activity year.

**Final Report:** A draft final report shall be submitted to the AOR no later than 30 calendar days after the completion of the activity. The final report is due 90 calendar days after the end of the award. Three copies should be submitted to the AOR. The report shall summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation, as well as key learnings from the total implementation experience. The final report will include details on how the handover plan was executed and approaches sustained by local stakeholders.

In addition, the report should specifically address how the activity addressed gender gaps; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained.

Additionally, the report should reflect the impact in meeting the challenges identified in each secondary city and how improvements in each of the sectors will be sustained/maintained by whom and how. What has been the leave behind demonstrated model that could be adapted for use in other cities with similar challenges.

The report shall cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories (or challenges), and detailed
financial information. It should be grounded in evidence and data. The final/completion report shall also contain an index of all reports and information products produced under the award.

b. Financial Reporting

**Quarterly Financial Report**: In accordance with 22 CFR 226.52 the Recipient must submit the Standard Form 425 (SF-425) via email. A copy of SF-425 is to be sent on a quarterly basis to the Agreement Officer (AO) and the Agreement Officer’s Representative (AOR) within thirty (30) calendar days after the end of the quarter. Electronic copies of the SF-425 can be found at:

https://www.grants.gov/forms/post-award-reporting-forms.html

Line item instructions for completing the SF-425 can be found at:

https://www.grants.gov/forms/post-award-reporting-forms.html


This NOFO incorporates in full text the standard provisions applicable to the NOFO. The resulting awards will incorporate the Mandatory and Required as Applicable Provisions, depending on the type of program area, the type of organization, and funding involved. More information can be found at http://www.usaid.gov/who-we-are/agency-policy

A.9 ENVIRONMENTAL MONITORING AND MITIGATION PLAN

This will be developed by the Applicant and approved by USAID prior to the launch of each city approach having a potential adverse impact on physical and natural environment. For any activity implemented under an IEE that has a Negative Determination with Conditions, contractors and grantees must develop Environmental Mitigation and Monitoring Plans (EMMPs) to implement these conditions. Project containing sub-grants, subcontracts, or any activities that are not known at the time of the preparation of the work plan, subproject Environmental Reviews with EMMPs signed by the AOR/AM and the MEO are necessary prior to the approval of a sub-grant or sub-activity. Signed Environmental Review Forms (ERFs) and Environmental Review Reports (ERRs) will be kept in USAID’s official files. Formats for ERF and ERR can be found at the following website: http://www.usaidgems.org

A.10 GENDER ANALYSIS

Gender analysis is a tool for examining the ways in which gender structurally affects society, including the different roles people of different genders play in communities and societies; the different levels of power they hold; their differing needs, constraints and opportunities; and the impact of these differences on their lives.
USAID conducted an initial gender analysis and identified the following key areas of focus: urban planning, access to public resources, land tenure, labor and employment, health, gender-based violence, mobility, and climate. The built world and urban planning have a long history of reflecting and centering the experiences of men and other dominant groups. Cities reflect the societies that build, maintain, and inhabit them. As a result, elements of urban life and environments across Asia and the Pacific feature distinct gender gaps, ranging from land tenure and housing to employment and climate resilience. Even when participatory planning methods are employed, women, girls, and sexual and gender minorities are often excluded and their specific needs unaddressed, which can result in direct and lasting harm.

As primary caregivers in societies across Asia and the Pacific, women are often the first to feel negative impacts from the loss of public services, from child and elder care to public education and infrastructure. Such losses compound the unpaid care and maintenance work women overwhelmingly conduct, while reducing opportunities for formal employment and capping economic growth. Public transportation systems designed for the transit patterns of men also systematically disadvantage women, especially elders and women with disabilities. As a result, women tend to spend longer traveling, at greater cost, and with greater safety risks. Poorly maintained infrastructure like paving and lighting disproportionately affects women, heightening risk of injury, violence, and loss of livelihoods.

Women are also more likely to live in informal settlements and experience limited and precarious land tenure. Land tenure is critical to sustainable income-generation, health, safety, and prevention of gender-based violence (GBV). Across Asia and the Pacific, customary laws restrict women’s land tenure. These risks are exacerbated in urban and peri-urban informal settlements, where women disproportionately reside and are more likely to be denied basic public services and made vulnerable to climate change and natural hazards. Women are more likely than men to die during climate-related disasters, and they are especially at risk in urban environments marked by outdated building standards and development in areas at high-risk of environmental hazards and disasters.

Women’s health is also devalued across urban spaces in Asia and the Pacific. Poorly planned urbanization and rapid population growth has led to poor sanitation infrastructure and low access to critical public services for women and girls, especially those with disabilities. Recorded levels of maternal mortality, neglect, and abuse are high in the Asia-Pacific region compared to other areas of the world. Risks of GBV have increased with expansions in the digital environment and the COVID-19 pandemic, with far-reaching impacts across sectors.

It is critical that any intervention focused on the urban environment center the most marginalized, especially women, girls, and sexual and gender minorities, to address the specific risks and gender gaps identified here. USAID must engage these communities directly in the co-creation of approaches that meet their needs and dismantle systems of marginalization.

USAID requests that implementing partners conduct additional context-specific gender analyses during activity design to inform key gender considerations that should be integrated and tracked throughout implementation. This gender analysis should identify root causes of existing gender inequities or obstacles to women’s empowerment in the context of the activity, so that the applicant can seek out opportunities to co-create with and address the specific concerns raised by women, girls, and gender minorities. The gender analysis should also identify potential adverse impacts and/or risks of gender-based exclusion that could result from planned activities, including: (a) Displacing women and gender minorities from access to resources or assets; (b) Increasing the
unpaid work or caregiver burden of women relative to men; (c) Conditions that restrict the participation of women or men in project activities and benefits based on pregnancy, maternity/paternity leave, or marital status; (d) Increasing the risk of gender-based violence, including sexual exploitation or human trafficking, sexually transmitted diseases, and HIV/AIDS; and (e) Marginalizing or excluding women in political and governance processes.

Because men, women, and non-binary people are not homogenous groups, the gender analysis should also to the extent possible disaggregate by income, region, caste, race, ethnicity, disability, age, and other relevant social characteristics.

A.11 KEY PERSONNEL
For this program, the Chief of Party (COP) and Deputy Chief of Party (DCOP - Title to be proposed by applicant) have been designated “Key Personnel” and will require the approval of the AOR. The Key DCOP position is critical in addressing continuity in the absence of the COP. See Section D Application and Submission Information, Annex 3. Program Management Approach for guidance on program staffing.

A.12 LIST OF ATTACHMENTS
Listed here links are supplement information that supplement information provided in the Program Description.

Attachment A - USAID Gender Policy

Attachment B - Budget Format
https://www.sba.gov/sites/default/files/SF-424A.pdf

Attachment C - Biodata Form

[END OF SECTION A]
SECTION B: FEDERAL AWARD INFORMATION

B.1 ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

USAID/Asia Bureau intends to award a single Cooperative Agreement pursuant to this notice of funding opportunity (NOFO). Subject to funding availability and at the discretion of the Agency, USAID intends to provide up to $15 million in total USAID funding over a five-year period when this award is granted. Approximately $1.11 million is available for Year One, with incremental funding provided over the remaining four years, pending availability of funds.

Organizations that have not previously received funding from USAID are encouraged to apply. Optionally, a consortium of applicants may apply, with one partner applicant indicated as the primary responsible applicant for the consortium. Once an award has been granted, USAID will support a co-creation process with local partners (local government, NGOs, private sector and others) to identify needs and priorities, as described below.

B.2 EXPECTED PERFORMANCE INDICATORS, TARGETS, BASELINE DATA, AND DATA COLLECTION

Data for the Asia Resilient Cities (ARC) activity will draw on the illustrative list of program areas and elements highlighted below. Applicants may propose any of these indicators based on their applications as well as additional custom indicators. Definitions for these program areas and elements can be found in the Foreign Assistance Standardized Resource Library Website.\(^4\) Program Structure and Definitions document. ARC activities will be led by partners with relevant regional and subject matter expertise in support of local government and other urban stakeholders to achieve the activity objectives.

1. PROGRAM AREA HL.6: Maternal and Child Health (MCH)
   a. Program Element HL.6.8: Cross-Cutting Health Systems Strengthening
   b. Program Element HL.6.10: Host Country Strategic Information Systems

2. PROGRAM AREA HL.7: Family Planning and Reproductive Health
   a. Program Element HL.7.2: Communication and Knowledge Management
   b. Program Element HL.7.3: Policy Analysis and Capacity Building
   c. Program Element HL.7.4: Cross-cutting Health Systems Strengthening
   d. Program Element HL.7.5: Host Country Strategic Information Systems

3. PROGRAM AREA EG. 2: Trade and Investment
   a. Element EG.2.1: Trade and Investment Enabling Environment

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\(^4\) Foreign Assistance Resources Library, Foreign Assistance Standard Indicators State Dept. website - https://www.state.gov/foreign-assistance-resource-library/#managing)
b. Program Element EG.2.2: Trade and Investment Capacity

4. PROGRAM AREA EG. 5: Private Sector Productivity
   a. Program Element EG.5.1: Business Enabling Environment
   b. Program Element EG.5.2: Private Sector Opportunity

5. PROGRAM AREA EG. 6: Workforce Development
   a. Program Element EG.6.2: Partnership Development
   b. Program Element EG.6.3: Workforce Readiness

6. PROGRAM AREA EG.10: Environment
   a. Program Element EG.10.1: Clean Productive Environment
   b. Program Element EG.10.2: Biodiversity
   c. Program Element EG.10.3: Natural Resource Management

7. PROGRAM AREA EG. 11: Climate Change: Adaptation
   a. Program Element EG.11.2: Climate Governance
   b. Program Element EG.11.3: Climate-resilient Practices

8. PROGRAM AREA EG. 12: Climate Change - Clean Energy
   a. Program Element EG.12.2: Clean Energy Investment, Implementation, and Use

9. PROGRAM AREA ES.1: Basic Education
   a. Program Element ES.1.7: Education Systems
   b. Program Element ES.1.8: Host Country Strategic Information Capacity (Basic Educ.)

10. PROGRAM AREA ES.2: Higher Education
    a. Program Element ES.2.1: Engaging Higher Education Institutions in Research and Development
    b. Program Element ES.2.3: Host Country Strategic Information Capacity (Higher Educ.)
    c. Program Element ES.2.5: Systemic Reform of Tertiary Institutions Definition
    d. Program Element ES.2.6: Access to Higher Education Opportunities Definition

    a. Program Element ES.3.1: Social Policy Governance
    b. Program Element ES.3.2: Research Capacity
    c. Program Element ES.3.3: Host Country Strategic Information Capacity for Social Services Policy
It is the policy of the Agency to help countries improve their own local resilience across all sectors (e.g. health, governance, education, food security, water systems, environment, energy, economic growth, etc.) by providing Federal financial assistance to development actors who merit federal support or assistance by reason of their mission, programs, and activities in a Program Area for which the Agency has funding. Through the provision of the health, economic growth, and education and social services Federal financial assistance as outlined above under a cooperative agreement for this Activity, the Agency intends to support development actors in the governance, health, education, energy, environment, and economic growth sectors who will help improve sector outcomes by carrying out their mission, programs, and activities in a manner that advances sustainable development in the applicable Program Areas.

B.3 START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS

The anticipated period of performance is up to five years. The estimated start date will be on/about July 15, 2022.

B.4 SUBSTANTIAL INVOLVEMENT

USAID will be substantially involved in the program and management performance of any awarded Cooperative Agreement through technical collaboration on specified program interventions. USAID anticipates the award shall be a Cooperative Agreement. Substantial involvement under the award is expected to be as follows:

- Approval of the Recipient’s Implementation Plan, Annual Workplan, and Activity Monitoring, Evaluation, Research and Learning Plan (AMERLP);
- Approval of Specified Key Personnel;
- Agency and recipient collaboration or joint participation in cases when the recipient’s successful accomplishment of program objectives would benefit from USAID’s technical knowledge;
- Monitoring to authorize specified kinds of direction or redirection because of interrelationships with other projects or activities funded by the USG;
- Participation in co-creation exercises focused on each of the secondary cities participating in this activity; and
- Concurrence on the substantive provisions of sub-awards. 2 CFR 200.308(6) requires the recipient to obtain the AO’s prior approval for the sub-award, transfer, or contracting out of any work under an award. Specifically, the requirements for prior approval of sub-awards include:
  - For the purposes of this award, the term “subaward” means an award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible sub-awardee or by a sub-awardee to a lower tier sub-awardee. The term includes financial assistance when provided by any legal agreement to implement program activities, even if the
agreement is called a contract, consultant agreement or similar term, but does not include procurement of goods and services nor does it include any form of assistance which is excluded from the definition of “award” in 2 CFR 200.

○ “Sub-awardee” means the legal entity to which, or person to whom, a sub-award is made – even if that person or entity is called a contractor, subcontractor, sub-recipient or consultant – and which is accountable to the recipient for the use of the funds provided (2 CFR 200).

○ In accordance with 2 CFR 200, the sub-award, transfer, or contracting out of any work must be described in the application. To effectively describe all proposed sub-awards the recipient must provide the following:

■ Name of the sub-awardee, and (1) in the case of a for profit commercial organization, the place of incorporation; or (2) in the case of a partnership, the place where legally organized; or (3) in the case of a non-profit organization, the place where legally organized; or (4) in the case of a person, the country of citizenship or legal residence.

■ The program description, statement of work, or terms of reference; period of performance; and country of performance.

■ The total estimated cost, including a detailed line-item budget and budget narrative that also includes proposed cost share, and a copy of any current indirect cost rate agreement between the U.S. Government and the sub-awardee. For individuals, the proposed daily rate, salary, stipend, or honorarium (whichever applies) and the program consultant’s curriculum vitae.

○ The sub-awardee must submit any of the following requests to the USAID Agreement Officer, through the prime recipient, for approval:

■ Requests to enter further sub-awards or sub-contracts, including sub-contracts with program consultants.

■ Approval to purchase commodities.

B.5 AUTHORIZED GEOGRAPHIC CODE

The geographic code for the procurement of commodities and services under this program is Code 937 (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source).

B.6 NATURE OF THE RELATIONSHIP BETWEEN USAID AND THE RECIPIENT

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the “Asia Resilient Cities Activity,” which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume
responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

[END OF SECTION B]
SECTION C: ELIGIBILITY INFORMATION

C.1 ELIGIBLE APPLICANTS

U.S. and non-U.S. nongovernmental organizations (NGOs) are eligible to apply. USAID welcomes applications from organizations that have not previously received financial assistance from USAID with experience in urban development, sustainable urban financing, participatory governance with municipal stakeholders, urban resilience, urban systems design, urban social services, or similar areas. An NGO means any nongovernmental organization or entity, whether nonprofit or profit-making (22 CFR 203.2). Eligibility for this NOFO is not restricted.

USAID will not accept applications from individuals. All Applicants must be legally recognized organizational entities under applicable U.S. law.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) may be subject to a pre-award risk assessment (Pre-award Survey) by the AO.

Faith-based organizations are eligible to apply for federal financial assistance on the same basis as any other organization and are subject to the protections and requirements of Federal Law.

If profit-making organizations apply for funding under this NOFO, no profit or fee will be authorized under the activity.

C.2 COST SHARING OR MATCHING

Cost share refers to the resources a recipient contributes to the total cost of an agreement. Cost share becomes a condition of an award when it is part of the approved award budget. The cost share must be verifiable from the Recipient’s records and can be audited; for U.S. organizations it is subject to the requirements of 2 CFR 200.306, and for non-U.S. organizations it is subject to Standard Provision RAA14, “Cost Share,” in USAID’s Automated Directives System (ADS) 303mab, “Standard Provisions for Non-U.S. Nongovernmental Organizations.” If a Recipient does not meet its cost share requirement, the AO may apply the difference in actual cost share amount from the agreed upon amount to reduce the amount of USAID funding for the following funding period, require the recipient to refund the difference to USAID when the award expires or is terminated, or reduce the amount of cost share required under the award.

The provision of cost share under this program is 10 percent of the total estimated cost of this activity, which is $15 million. At their discretion, applicants may propose to fulfill this 10 percent cost share in cash, in-kind, or a combination of both. The applicant must express this cost sharing
as a dollar amount in their application. All cash and in-kind contributions committed by partners must be documented. Such funds may be provided directly by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

C.3 PARTNERSHIPS

USAID will consider applications that include proposed partners (sub-recipients or consortium) for implementation of this award. Applicants are encouraged to partner with organizations that show a complementarity of skill sets and capabilities. Partners may leverage the private sector, other donors, international organizations, and civil society institutions, as appropriate. Partnership with and capacity building for local organizations in selected cities will be encouraged during the post-award co-creation phase of this activity. In addition to cost sharing, applicants must propose a phased handover plan that demonstrates eventual municipal ownership of all approaches taken. This plan will include an anticipatory timeline for handover and a description of how the applicant will integrate handover into yearly workplans, including post-activity budget planning with municipal government, private sector, and other local stakeholders. USAID seeks recipient organizations that have prior commendable performance in working in the urban sector. Subject matter experience by the prime recipient or sub-recipients in implementing similar programs is also preferred.

If an Applicant includes sub-recipients for implementation of the award, Applicants should demonstrate how these sub-recipients complement the organizational capabilities of the Applicant and how the partnerships strengthen the overall program plan.

While each member of the partnership should have a defined role under the agreement, the Prime Recipient is responsible for all administrative, management, and reporting requirements to USAID. Applicants should describe their proposed partnership(s), each partner organization, its strengths and experiences, its proposed role and responsibilities, and associated costs. The application should also explain how the Applicant will ensure the effective implementation of all program activities set forth in its proposal (including those carried out through sub-awards) and the delivery of timely and accurate reports among partner organizations. References for the past performance of each partner organization should also be provided. (For more information, please refer to the requirements for prior approval of sub-awards in 3.3 of Section B).

[END OF SECTION C]
SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1 AGENCY POINTS OF CONTACT
Primary - Yusuf Akoll, Agreement Specialist, yakoll@usaid.gov
With cc: to - Trenae Bonner, Agreement Officer, tbonner@usaid.gov
United States Agency for International Development (USAID)
M/OAA/RM/AEM
500 D Street, SW
Washington, DC 20523

D.2 QUESTIONS AND ANSWERS
Questions regarding this NOFO should be submitted in writing to the email addresses specified above in subsection D.1 no later than the date and time indicated on the cover letter of this NOFO, as amended. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

Note: Please include both Ms. Bonner and Mr. Akoll in all emails or correspondence.

D.3 GENERAL CONTENT AND FORM OF APPLICATION
Applications must be submitted electronically to the following address: yakoll@usaid.gov and tbonner@usaid.gov on or before the date and time indicated on the cover letter. The e-mail must be identified with the following subject heading: “USAID/Asia NOFO No. 7200AA22RFA00019, ARC and the Applicant’s Name.”

a. Preparation of Applications
Each applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts:

1) the Technical Application, and

2) the Business (Cost) Application

This subsection addresses general content requirements applying to the full application. Please see subsections D.5 and D.6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name and address of the organization submitting the application;
- Unique Entity Identifier (UEI) and Cage numbers;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Activity name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID’s definition of ‘local entity’ under ADS 303).

Any erasures or other changes to the application must be initialed by the person signing the application. Applications signed by an agent on behalf of the applicant must be accompanied by evidence of that agent’s authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- Written in English.
- Use standard 8½” x 11”, single sided, single-spaced, 12-point Times New Roman font, 1” margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant’s name.
- A 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant’s discretion, however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do
so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the title page with the following legend:

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application.”

Mark each sheet of restricted data with the following legend:

“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction.”

D.4 APPLICATION SUBMISSION PROCEDURES (INSTRUCTIONS)

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified mail receipt.

E-mail submission

Applications must be submitted by email to Trenae Bonner (tbonner@usaid.gov) and Yusuf Akoll (yakoll@usaid.gov). E-mail submissions must be identified with the following subject heading: “USAID/Asia NOFO No. 7200AA22RFA00019, ARC, and the Applicant’s Name” in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[USAID/Asia NOFO number], [organization name], Cost Application, Part 1 of 2".

USAID’s preference is that the technical application and the cost application each be submitted as consolidated email attachments, (e.g. that you consolidate the various parts of a technical application into a single document before sending it). If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No additions or modifications will be accepted after the submission date.
After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Asia Bureau cannot guarantee their acceptance by the internet server. File size must not exceed 2Mb.

**D.5 TECHNICAL APPLICATION FORMAT**

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application should be specific, complete, and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

Technical applications must not exceed ten (10) single-spaced typed pages, using Times New Roman 12pt. font, typed on standard 8½” x 11” sized paper with one-inch margins (both right and left) and each page numbered consecutively. Annexes are excluded from the ten page limitation, however they have their own page number limits.

Applicants are advised that any pages exceeding the page limit will not be considered for evaluation.

Applicants should outline how the beneficiaries will be selected and prioritized and clearly explain how their local partners and local networks have the expertise, geographic and political familiarity, and experience to carry out activities. Applicants should also demonstrate how relationships will be built with the beneficiaries, and how their proposed program will coordinate to prevent duplication and ensure complementarities with other U.S. Government programs.

The technical application must clearly demonstrate an in-depth understanding of the development challenges in context, outline specific activities and explain how the proposed activities would help achieve the program objectives stated in Section A. Applicants are encouraged to propose innovative yet realistic approaches that are most appropriate in the context of the presented issues as well as methods by which new approaches will be analyzed and adapted as needed throughout
The technical approach must clearly address the factors outlined in the evaluation criteria found in Section E.

All application documents must be in English.

**a. Application Contents**: The Technical Application, at a minimum, must contain the following. Please note that the Cover Page and Table of Contents do not count toward the ten-page limit:

- **Cover Page** (not to exceed one page; does not count toward the ten-page limit. See Section D.3 above for requirements)
- **Table of Contents** (not to exceed one page; does not count toward the ten page limit). List all parts of the technical application, with page numbers and attachments.
- **Executive Summary** (not to exceed two pages). The Executive Summary must provide a high-level overview of key elements of the Technical Application, with:
  a) the proposed vision and goals for the program;
  b) the results to be achieved, the resources and steps required to meet them in an identifiable period of time; and
  c) the managerial approach and resources that the Applicant will bring to bear on the overall management of the program.

**Technical Approach** (not to exceed eight pages).

In this section, Applicants are not to merely repeat what is already described in this NOFO or in the Executive Summary. Applicants must focus on describing what they will do to achieve activity objectives as identified in the Program Description (Section A of this NOFO). Discuss your strategy and methodology, including ideas for stakeholder involvement. Recognizing that specific approaches will be determined after city selection and co-creation, discuss your approach to working with stakeholders to set the agenda, outline expected results, determine a schedule of activities, program human resources, and track performance indicators. Applications should describe any partner groups and/or individuals with whom Applicants wish to work.

Applicants should address the following key area:

a. State the **proposed activity concept, strategy and techniques** for accomplishing the objectives and expected results outlined in Program Description in this NOFO. Highlight aspects of the proposed program that:
   - seek to identify unmet and demand driven needs of secondary cities; and
   - present opportunities for creative and innovative approaches in the design and implementation.

b. Address strategy for carrying out a **post-award co-creation process** as described in the Activity Parameters section of the Program Description. This should include stakeholder engagement related to intergovernmental coordination, citizen collective action, private sector collaboration, and inclusion of marginalized populations. Applicants will have the
opportunity to describe city selection, co-creation, and stakeholder engagement in greater detail in Annex 5.

c. Address **multi-disciplinary and cross sectorial approaches** for the proposed activity. Identify critical issues that need to be addressed to ensure a well-integrated cross sectoral collaboration among stakeholders.

d. Address approach to **manage sub-grantees** for the proposed activity.

e. Address approach to **mobilize experts in technical areas** of the proposed activity (health, environment, energy, education, economic growth, food security, democracy and governance, public-private partnerships, public finance, digital solutions to social services, infrastructure).

f. Address approach to **sustainability and local ownership**, including through sustainable financing, beyond the life of the activity.

**Annexes**

The following Annexes must be attached to the Technical Application and **do not count toward the ten page limit above**:

**Annex 1 - Draft Implementation Plan** (not to exceed three pages)

Clearly present a visual timeline, broken down by month, of the activities that will be used to implement the program, including milestones and key deliverables. The **Implementation plan** should clearly outline a proposed approach to the selection of partner cities and subsequent engagement with municipal government and other local stakeholders in each selected city. The Implementation Plan should also address any potential contingency plans should activities be affected by the ongoing global **pandemic and/or other potential natural disasters**.

Note: For reporting purposes, implementation plans for recipients and sub-recipients should mirror the USAID fiscal year, which begins October 1. A final Implementation Plan will be due within 60 days of a signed agreement.

**Annex 2 - Draft Monitoring, Evaluation, Research and Learning (MERL) Plan** (not to exceed three pages):

As noted on p.2 of the Program Description in Section A, data collection, analysis and learning are fundamental to the programmatic approaches of the ARC activity. Please also refer to section A7. Monitoring, evaluation, research and learning in the Program Description in Section A. Please review USAID Automated Directive System (ADS) Chapter 201 (**https://www.usaid.gov/sites/default/files/documents/201.pdf**), for applicable sections 201.3.5 through 201.13.7. Applicants are strongly encouraged to include the following components in their proposal. An overall MERL Plan must be submitted within 90 days of a signed agreement.

**A. Overall MERL Plan**

The proposal should include an initial plan and initial proposed approach for the following:

a) Co-determination of learning priorities and questions
   ○ Include initial learning questions associated with Agency-wide priorities and potential knowledge gaps with respect to the technical approach proposed
   ○ Please describe a process to revise these initial questions with USAID

b) Research and evaluations data collection and analyses
   ○ Proposed assessments and research to be conducted before co-creation (formative learning products)
   ○ Proposed research and internal evaluation efforts to be conducted after co-creation
   ○ Proposed performance indicators for the activity as a whole, including cross cutting indicators
   ○ Proposed data collection and analysis approach to monitor and understand the systems and their resilience

c) Dissemination and learning
   ○ Propose strategy to disseminate learning and engage stakeholders around formative and summative learning products
   ○ Propose strategy to use lessons learned and adapt implementation strategy.

d) Data management plan
   ○ A description of the applicants data management plan, including plans to collect, maintain data quality, store data, and ensure data security.

B. MERL Plan for each site

Please provide a description of how a MERL Plan will be produced out of the co-design of the activity in each site. This MERL Plan must ultimately include:

a. A visual representation of the proposed Results Framework upon which the program’s theory of change is based;

b. Monitoring Section that includes the proposed monitoring approach, including monitoring processes, systems, and relevant performance indicators of the activity’s outputs and outcomes, their baseline values (or plan for collecting baselines), and annual targets, plans for monitoring context and emerging risks that could affect the achievement of the activity’s results.

c. Internal Evaluation and Research that describes how the Applicant plans to engage in internal evaluation or research efforts, specific to each site or in relation to the overall MERL plan in B above.
d. **External Evaluation Section** that describes how the Applicant plans to collaborate with external evaluation, specific to each site or in relation to the overall MERL plan in B above.
e.
Compliance with mandatory USAID reporting (see section A.8 of the Program Description), including collection of beneficiary feedback.

**Annex 3 - Program Management Approach** (not to exceed three pages):

This section focuses on the management plan the Applicant will be using to implement the proposed program. This section also reviews the documentation required to meet the standards for prior approval at the time of award for proposed sub-awards and program consultants. For this program, the Chief of Party (COP) and Deputy Chief of Party (DCOP - applicant may suggest another title) have been designated “Key Personnel.” The DCOP position is critical in addressing continuity in the absence of the COP.

a. Explain the staffing plan and specify the composition and organizational structure of the entire implementation team. Also include a description of each staff member’s role, technical expertise, and estimated time (level of effort) that each will devote to the program.

b. Proposing a diverse staff in terms of ethnic identity, sex, and gender would be an asset in the program designed to address the needs of under-represented groups. Proposed personnel not yet identified may be shown as “TBD” (to be determined).

c. Applicants must propose the names and qualifications of the following key personnel and how they will contribute to achieving the program objectives:

- Chief of Party (COP)
- Deputy Chief of Party (DCOP - title may be determined by Applicant)

**Key personnel**

The COP and the Deputy COP are responsible for management, oversight, and reporting of implementation of, progress on and quality of performance related to sub-awards and technical assistance under this program. They serve as designated persons for overall management of the relationship with USAID. They supervise overall program operations, including administration, logistics, procurement, budgeting, and financial accounting (expenditures and reporting).

In close consultation with the AOR, the COP and Deputy COP ensure procedures are established and complied with for subaward worthiness, development, implementation and close-out, funds liquidity, procurement, and administrative actions. They have primary responsibility for overseeing the administrative aspects of management of all sub-awardees, and overseeing programmatic and strategic aspects of the program. Ultimately, they are responsible for all sub-awards made under this agreement though they may delegate day-to-day management to appropriate staff. They are responsible for hiring staff and making sure that program operations comply with applicable laws.

They shall combine depth and breadth of technical expertise and experience, a solid professional reputation, interpersonal skills and professional relationships to fulfill the
requirements of the activity description. The preferred combined management requirements are as follows:

- At least 15 years of combined experience managing and implementing similar development programs, with preferred experience in urban design/governance programs, preferably in Asia;
- At least 15 years of combined experience working with USG supported projects and knowledge of financial rules and regulations at a senior level;
- At least 15 years of combined experience in mentoring, coaching and skills transfer;
- At least 15 years of combined experience in developing activity work-plans, budgets, managing implementation, staff and short-term technical assistance;
- Demonstrated professional excellence, proven leadership, and management skills;
- Strong interpersonal skills with experience working in cross-cultural settings.
- Demonstrated team player with visionary leadership and demonstration of professional accomplishments;
- Excellent managerial and operational experience, preferably in managing large donor projects involving coordination with multiple implementing partners or institutions in the Asia region.
- Excellent representational and communication skills, written and oral proficiency in English, and
- Excellent past performance references

The preferred combined subject matter experience are as follows:

- Each should have at least a master’s degree in one of the following fields (preferably a different one for each): Urban design/management, governance, economic growth, climate change, or other fields related to this activity.
- At least 30 combined years of experience implementing similar development programs, including:
  - urban design
  - governance programs
  - environment and climate change
  - gender and/or integrating and mainstreaming gender issues into interventions
  - system’s and cross cutting approach to programming
- At least 20 years of combined experience conducting MERL activities, including firsthand data collection and analysis for evaluation and research projects

Provide the names and proposed roles and responsibilities of the key personnel proposed under this Cooperative Agreement.
• Clearly present your management and administrative arrangements to include your management approach for the overall execution of the proposed activities, organizational structure, administrative arrangements, logistical support, and personnel management plan which describes functions and responsibilities of key personnel.

• Describe the approaches to support collaboration, frequency of stakeholder engagement, and coordination between implementing partners, among other approaches. This may also include plans for operational arrangements for collaboration and coordination with USAID, public- and private-urban stakeholders, and any other partner institutions.

• Describe all proposed consortium partners included in the application. Additionally, include the approach to identifying and working with local partners for the co-creation workshop. 2 CFR 200.308(6) requires the recipient to obtain the AO’s approval for the sub-award, transfer, or contracting out of any work under an award, including fixed amount subawards as described in §200.333. This provision does not apply to the acquisition of supplies, material, equipment or general support services. Specifically, the requirements for prior approval of sub-award include:

  ○ Name of the sub-awardee, and (1) in the case of a for-profit commercial organization, the place of incorporation; or (2) in the case of a partnership, the place where legally organized; or (3) in the case of a non-profit organization, the place where legally organized; or (4) in the case of a person, the country of citizenship or legal residence.

  ○ The program description, statement of work, or terms of reference; period of performance; and country of performance.

  ○ The total estimated cost, including a detailed line-item budget and budget narrative that also includes proposed cost share, if applicable, and a copy of any current indirect cost rate agreement between the U.S. Government and the sub-awardee. For individuals, the proposed daily rate, salary, stipend, or honorarium (whichever applies) and the program consultant’s resume.

  ○ That the sub-awardee does not have active exclusions in the System for Award Management; does not appear on the Specially Designated Nationals (SDN) and Blocked Persons List; and is not listed in the United Nations Security designation list nor the Office of Foreign Nationals (SDN) and Blocked Persons List; and is not listed in the United Nations Security designation list nor the Office of Foreign Assets Control (OFAC) sanctions list.

• Furthermore, if the prime award is made without the required documentation, the sub-award will not be considered approved unless all the above requirements are submitted to the Agreement Officer and the Recipient receives a signed letter approving the sub-award from the Agreement Officer.

• Performance of a sub-award must not begin before the date of the Agreement Officer’s letter of approval or the date of the authorization by the prime recipient, whichever is later.
Annex 4. Key Personnel - resume of those listed in Annex 3 (each resume must not exceed two pages):

This section shall include resumes for the two key personnel candidates and any other personnel proposed for significant positions. Resumes shall not exceed two pages in length and shall be in chronological order starting with the most recent experience. Resume for all key personnel must include three performance references for each proposed key position, up-to-date telephone numbers and e-mail contact information.

Annex 5. City Selection and Co-Creation (not to exceed two pages):

This section should describe how the awardee will a) work with national governments, municipal governments, and USAID Missions to create a short-list of potential cities for implementation and b) plan and facilitate co-creation workshops in each city to refine and finalize approaches. A timeline should be included that outlines the anticipated duration and steps from award to work planning and implementation.

1. Describe the process by which cities will be selected. An example process is for the awardee to a) collaboratively identify eligible cities with USAID Missions and local stakeholders, b) solicit expressions of interest from these cities, and c) make a final selection of cities in consultation with the USAID Missions and AOR. Specific city selection process may be proposed by the applicant.

2. Discuss how the awardee will carry out a post-award co-creation process as described in the Activity Parameters section of the Program Description.

3. Describe how the co-creation workshop will be evidence based.

4. Discuss how the awardee will intentionally collaborate with stakeholders to design approaches (eg: intergovernmental coordination, citizen collective action, private sector collaboration, inclusion of marginalized populations).

Annex 6. Organizational (and Consortium, if applicable) Capacity (not to exceed two pages):

This section focuses on the Applicant’s internal capabilities/resources and relevant work experience/history to demonstrate its capacity to successfully manage the proposed activity. In this section, the Applicant should:

1. Explain the core technical capacities/resources and home office support that the Applicant has to offer and address the Applicant’s financial control systems.

2. Describe its ability to monitor and evaluate program implementation and to effectively report results and impact.

3. Describe the organizational capabilities and expertise of any proposed sub-recipients, if applicable.

4. If applicable, describe the proposed field management structure and financial controls.

5. If applicable, list proposed consortium partners and their contributions to the proposed implementation approach and plan.
Annex 7. Previous Experience (Organization Matrix of Projects) (not to exceed two pages):

The Applicant must provide a matrix of all its contracts, grants, or cooperative agreements involving similar or related programs during the past five years. The reference information for these awards must include:

1. the performance location;
2. title of award;
3. dates of performance;
4. brief description of the work experience/history/areas of expertise, including previous experience working on urban design/governance, environmental/climate change activities, and financial management; and
5. describe its pertinent work experience and representative accomplishments in developing and implementing programs similar to that outlined in this NOFO and previous experience of consortium partners should also be included here, if applicable.

Note: No additional annexes will be accepted in the application.

D.6 BUSINESS (COST) APPLICATION FORMAT

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant’s risk in accordance with 2 CFR 200.206. Applicants should not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

a. Cover Page (See Section D.3 above for requirements).

b. SF 424 Form(s).

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

|-------------------------|--------------------------------------------------------------------------|
a) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application:


2. Assurances for Non-Construction Programs (SF-424B)

3. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

b) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID’s determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Section H, Annex 1 for Summary Budget Template
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement
the applicant’s program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant’s budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant’s written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant’s normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same
requirements as the applicant’s budget, including those related to fringe and indirect costs.

6) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.

7) Cost Sharing - The applicant should estimate the amount of cost-sharing resources to be provided over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. The provision of cost share under this program is 10 percent (approximately $1.5 million) of the total estimated cost (TEC) of this activity, which is $15 million. At the applicant’s discretion, it may propose to fulfill this 10 percent cost share in cash, in-kind, or a combination of both. The applicant must express this cost sharing as a dollar amount in their application. All cash and in-kind contributions committed by partners must be documented. Such funds may be provided directly by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only
Eligibility: Any applicant
Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency’s discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID’s Indirect Cost Rate Guide for Non Profit Organizations for further guidance.
Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

Eligibility: Any applicant that does not have a current NICRA

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200 for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant’s requested method.

c) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.
d) **Approval of Subawards**

The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- Unique Entity Identifier Number
- Confirmation that the subrecipient does not appear on the Treasury Department’s Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.332(b)
- Any negative findings as a result of the risk assessment and the applicant’s plan for mitigation.

e) **SAM Requirements**

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier per System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid UEI number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient ([www.beta.sam.gov](http://www.beta.sam.gov)).
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

SAM registration: [http://www.sam.gov](http://www.sam.gov)
Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code and UEI, on www.sam.gov, navigate to Help, then to International Registrants.

f) **History of Performance**

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed three years, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last three years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant’s history of performance from any sources and may consider such information in its review of the applicant’s risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

g) **Branding Strategy & Marking Plan**

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award.

h) **Funding Restrictions**

1. Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.331 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.
2. Construction will not be authorized under this award.
3. USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

4. Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

i) Conflict of Interest Pre-Award Term

1. Personal Conflict of Interest
   a. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official’s impartiality. The term “conflict of interest” includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
   b. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

2. Organizational Conflict of Interest
   a. The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include, but are not limited to, situations in which an applicant or the applicant’s employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant’s employee was substantially involved in the preparation of a federal assistance funding opportunity.
   b. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

[END OF SECTION D]
SECTION E: APPLICATION REVIEW INFORMATION

E.1 MERIT REVIEW CRITERIA

USAID will conduct a merit review of all applications received that complies with the instructions in this NOFO in accordance with the following evaluation criteria. USAID plans to award one cooperative agreement to Applicant(s) that best meet all technical evaluation criteria and cost considerations, with emphasis on the Applicant’s technical proposal. Only one Cooperative Agreement shall be awarded per organization or consortium. Shortly after the submission deadline, USAID will review the applications according to the evaluation criteria set forth below. While Applicants should be certain to address the evaluation criteria to receive the highest possible score, they should also be sure to provide the detailed information requested in the “Instructions” found in Section D.

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

The Agreement Officer will perform a pre-award risk assessment in accordance with the principles established by USAID and the Office of Management and Budget (OMB) (see 2 CFR 200.205). As per ADS 303.3.9 (dated 02/04/2021), a positive risk assessment means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

If USAID’s review of the full application results in a recommendation for funding, then the organization and USAID will enter final discussions to ensure all pre-award requirements are met and significant grant terms are negotiated and agreed. The exact details will vary according to the circumstances pertaining to each application; however, the following are common areas that require discussion and agreement prior to award:

- Payment terms;
- Procedures concerning administrative reporting and logistical requirements for the program including training components;
- Other award terms include audit, special provisions, and/or special award conditions.

Cost submissions will not be scored but will be assessed for cost reasonableness, allocability, and allowability. While cost may be a determining factor in the final award(s) decision, the technical merit of applications is substantially more important under this NOFO. Consideration will be given to the applicant’s understanding of the NOFO requirements and consistency with the technical application.
E.2 REVIEW AND SELECTION PROCESS

Technical applications will be evaluated in accordance with the evaluation criteria set forth below by a Selection Committee (SC) comprised of USAID employees, and, if necessary, other U.S. Government representatives or other technical experts. The team of technical experts will review and score applications received in response to this NOFO.

The Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

Criteria Identification – The evaluation of applications will be completed using the following merit review criteria in rank order of importance. Applicants should note that these criteria serve to: (a) identify the significant matters which Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following four criterion described below:

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<th>CRITERION</th>
<th>CRITERION NAME</th>
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<tbody>
<tr>
<td>Criterion 1</td>
<td>Technical Approach</td>
<td>60%</td>
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<tr>
<td>Criterion 2</td>
<td>Organizational Capacity and Past Performance</td>
<td>20%</td>
</tr>
<tr>
<td>Criterion 3</td>
<td>Monitoring, Evaluation, Research and Learning (MERL) Plan</td>
<td>10%</td>
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<tr>
<td>Criterion 4</td>
<td>Program Management Approach &amp; Key Personnel</td>
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Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The merit review criteria below will be used to review and evaluate applications that meet the minimum requirements. USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO. The SC will use an adjectival approach, with sub-criteria being answered as yes/no/maybe and overall criteria being evaluated as exceptional, very good, satisfactory, marginal, unsatisfactory. Adjectival evaluation will be complemented by comments and discussions on each of the four criteria sections. Each sub-criterion is weighted to appropriately reflect the importance of it in the potential success of the proposed approach. See the descriptions below under a. Technical Evaluation for details on criterion and sub-criterion evaluation. Once scoring is completed for each criterion section, SC
members will provide comments on the strengths and weaknesses of each of the four criterion. These comments will be the basis of the SC evaluation discussion.

Full applications that do not meet these requirements will not be considered:

1. The application addresses the ARC purpose set forth in the NOFO.
2. The application is responsive to the provided program description.

USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the criteria listed Per the stated importance. The U.S. Government is not obligated to make an award on the basis of lowest proposed cost or to the Applicant with the highest merit evaluation score.

a. TECHNICAL EVALUATION

a.1 Technical Approach

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<tr>
<td>Criterion 1</td>
<td>Technical Approach</td>
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Instructions to Applicant & Evaluation Criteria:

Applicants should review and address components described under the Technical Approach, Implementation Plan (Annex 1), and City Selection/Co-creation (Annex 5) sections found in D.5 Technical Application Format of Section D of this NOFO. The following evaluation criteria will be used to score Criterion 1:

1. **Proposed activity concept, strategy and techniques** - The technical application sets forth a convincing concept, effective strategy, and techniques for accomplishing the stated objectives and anticipated results outlined in this NOFO.
   a. The technical approach presents a well-developed, informed and sound program strategy based on unmet and demand driven needs of secondary cities, including an in-depth knowledge and understanding of the constraints and strategic priorities and how these risks and assumptions will be mitigated and addressed.
   b. The proposed concept is unique and innovative and incorporates best practices from other urban resilience programs in the sector.

2. **Post-award co-creation process** - The technical application describes how the co-creation process will proceed with input from local stakeholders, including government, non-government, and residents, including marginalized populations. The proposed co-creation process must demonstrate an intentional and thoughtful facilitation and engagement approach and must demonstrate how evidence will be used in the process (please also see MERL section below).
3. Multi-disciplinary and cross sectorial approaches - The proposed activity clearly integrates sectors and describes how urban challenges will be addressed through cross-sectoral engagement and implementation.

4. Managing sub-grantees - The application includes criteria for the selection and management of sub-grantees. Inclusion of local organizations that have experience working with communities to address urban challenges will be essential.

5. Mobilizing experts in technical areas - The application describes how technical experts will be engaged across sectors to plan, design, and implement the activity.

6. Sustainability and local ownership - The application describes how approaches will be sustained through local ownership by the targeted municipalities prior to the end of this activity.

7. Implementation Plan - In Annex 1, the application includes a clear understanding of the objectives and has laid out a timeline for implementation, including milestones and key deliverables.

8. The technical application takes into account contingency plans for any additional pandemic outbreak or disaster that may impact implementation when describing proposed activities.

The following sections will be evaluated as part of the Applicant’s Technical Approach:

1. The Executive Summary and Technical Approach sections of the Technical Application;
2. Draft Implementation Plan (Annex 1); and
3. City Selection and Co-Creation (Annex 5)

a.2 Organization Capacity and Previous Experience:

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<tr>
<td>Criterion 2</td>
<td>Organizational Capacity and Previous Experience</td>
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Instructions to Applicant & Evaluation Criteria:

Applicants should review and address components described under the Organizational Capacity (Annex 6) and Previous Experience (Annex 7) sections found in D.5 Technical Application Format of Section D of this NOFO. The following evaluation criteria will be used to score Criterion 3:

1. The application demonstrates the Applicant’s ability to employ the necessary organizational resources to achieve program objectives in a restrictive operating environment.

2. The application has a well-integrated approach for the roles and responsibilities of any proposed partners and/or subrecipients.
3. The organization (as the prime or subrecipient) has experience implementing projects in urban communities, preferably in Asia.

4. The ideal applicant, partner, and/or consortium of partners will be a well-coordinated team comprised of highly qualified experts who are competent on the basis of training, education, and experience, in most or all of the following areas:
   
   a. Demonstrated expertise leading multi-disciplinary teams implementing a multi-sectoral activity, utilizing high quality evidence where available or generating high quality evidence when evidence is scarce.
   
   b. Demonstrated expertise in cross-sectoral activity design and implementation in a selection of the following sectors, with the ability to form new partnerships as needed to fill expertise gaps: Health, environment, energy, education, economic growth, democracy and governance.
   
   c. Demonstrated clear and tested process for engagement with municipal stakeholders to identify a development challenge to be addressed and subsequently a resourced, tested and scalable set of solutions.
   
   d. Demonstrated ability to mobilize expertise across sectors and conduct in depth analyses.
   
   e. Demonstrated expertise in building Public-Private Partnerships (PPP) and access to financing.
   
   f. Demonstrated expertise in digital solutions to social service and infrastructure challenges.
   
   g. Demonstrated expertise working with city municipal governance structures (e.g. smart city initiatives), particularly in relation to intergovernmental coordination processes (planning, budgeting, program execution), systems approaches (problem identification, planning, and implementation), and data use for policy making.
   
   h. Demonstrated expertise in fostering resident collective action, individual resident reporting services, and community participator models of governance (particularly those that foster inclusion of marginalized populations).
   
   i. Demonstrated expertise addressing social behavior in relation to urban development challenges (i.e. social organization, overcrowding, urban stressors) through design thinking, behavioral science, “nudge” interventions, and other related approaches.
   
   j. Demonstrated expertise collecting and analyzing data, conducting evaluations, and producing research and learning products.
   
   k. Demonstrated capacity to utilize and disseminate evidence, to facilitate learning from stakeholders and to integrate evidence-based lessons into adaptive management.

The following sections will be evaluated as part of the Organizational Capability and Previous Experience criteria:

1. Organizational/Consortium Capacity (Annex 6); and

a.3 Monitoring, Evaluation, Research and Learning (MERL) Plan:

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<tr>
<td>Criterion 3</td>
<td>Monitoring, Evaluation, Research and Learning (MERL) Plan</td>
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Instructions to Applicant & Evaluation Criteria:

Applicants should review and address components described under the Monitoring, Evaluation, Research and Learning (MERL) Plan (Annex 2) section found in D.5 Technical Application Format of Section D of this NOFO. MERL is critical to this activity as data collection, analysis and learning are fundamental to the programmatic approaches described in Section A. Evidence-based learning is expected to be facilitated through the life of the activity as a key component of the results framework/theory of change. The following evaluation criteria will be used to score Criterion 2:

1. ADS 201 and USG requirements
   ○ Applicants must demonstrate understanding of best practices in MERL for international development, along with USAID’s ADS 201 and USG reporting requirements.

2. Learning and facilitation
   ○ Note the close link between MERL and the technical approach, given the strong emphasis on co-design, stakeholder engagement and use of evidence.
   ○ The initial MERL plan must reflect intentional and practical approaches to stakeholder engagement in order to facilitate evidence-based learning.
   ○ The initial MERL plan must show understanding of the respective weights of different types of evidence.
   ○ As appropriate, learning activities facilitation guides must be structured to include a variety of creative learning approaches, including the breadth of virtual and digital tools.
   ○ Co-creation must leverage evidence, including evidence relevant to a systems approach.

3. Evidence and research
   ○ The initial MERL plan should demonstrate understanding of the collection, analysis and use of qualitative, quantitative, geospatial and systems data.
   ○ The initial MERL plan should demonstrate understanding of knowledge gaps in the realm of programming for resilient secondary cities and specific to the technical proposal and propose some initial research and evaluation priorities.

4. Performance monitoring and context monitoring
○ The proposed illustrative set of indicators must demonstrate understanding of how performance and context monitoring are used for accountability and learning.
○ Note that proposed indicators might also provide data for research and evaluations.

5. Data rigor and quality
   ○ The proposal must demonstrate an emphasis on data quality and data quality controls.

**a.4 Program Management Approach & Key Personnel:**

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<tr>
<td>Criterion 4</td>
<td>Program Management Approach &amp; Key Personnel</td>
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**Instructions to Applicant & Evaluation Criteria:**

Applicants should review and address components described under the Program Management Approach (Annex 3) and Key Personnel Resume (Annex 4) sections found in D.5 Technical Application Format of Section D of this NOFO. The following evaluation criteria will be used to score Criterion 4:

1. The application includes a well-organized **management plan** that includes a staffing structure and division of responsibilities to effectively administer program activities and achieve program objectives in restrictive operating environments.
2. **Key personnel** have the experience and demonstrate success implementing programs or activities that are directly related to or similar in scope, magnitude, sensitivity, and complexity to that detailed in this NOFO.
3. The proposed Key Personnel have **experience working in urban communities**, preferably in Asia, specifically in areas related to health, education, economic growth, democracy and governance, and energy and environment, financing and climate change.
4. The application provides the names and **resume** for the two key personnel to be assigned to the program along with three performance references for each proposed key position. The two key personnel meet the preferred requirements outlined in Section D, Annex 3.

The following sections will be evaluated as part of the Management Structure and Staffing Plan:

1. Program Management Approach (Annex 3); and

**Overall Weighting:** The following sections will be evaluated in order of descending importance:

- Technical Approach (60%)
- Organizational Capacity and Previous Experience (20%)
● Monitoring, Evaluation, Research, and Learning (MERL) Plan (10%)
● Program Management Approach & Key Personnel (10%)

b. Business Review

The Agency will assess the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable and reasonable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.


The AO will perform a risk assessment (2 CFR 200.206). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.208).

[END OF SECTION E]
SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 FEDERAL AWARD NOTICES

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

F.2 ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

The resulting award from this NOFO will be administered in accordance with the following policies and regulations:

- Federal Acquisition Regulations (FAR) Part 31 for Commercial Organizations;
- See Annex 1 at the end of this NOFO, for a list of Standard Provisions that will be applicable to any awards resulting from this NOFO.

F.3 REPORTING REQUIREMENTS

The types and frequency of financial and programmatic reports are detailed in 2 CFR 200.

a. Financial Reporting:

The Recipient must submit via email a copy of the Standard Form 425 (SF-425) on a quarterly basis to the Agreement Officer (AO) and the Agreement Officer’s Representative (AOR) within thirty (30) calendar days after the end of the quarter. Electronic copies of the SF-425 can be found at: https://www.grants.gov/forms/post-award-reporting-forms.html

Line item instructions for completing the SF-425 can be found at:
https://www.grants.gov/forms/post-award-reporting-forms.html

b. Performance Reporting:
USAID expects high quality reports in English. Reports must be professionally executed, avoiding typographical and grammatical errors. Each of the reports must be submitted electronically to the Agreement Officer’s Representative (AOR) in Word, Excel, PowerPoint, or PDF format, as directed by the AOR (see subsection A.8 Reporting Requirements in Section A: Program Description).

[END OF SECTION F]
SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

G.1 NOFO POINTS OF CONTACT

Primary - Yusuf Akoll, Agreement Specialist, yakoll@usaid.gov
With cc: to - Trenae Bonner, Agreement Officer, tbonner@usaid.gov
United States Agency for International Development (USAID)
M/OAA/RM/AEM
500 D Street, SW
Washington, DC 20523

G.2 ACQUISITION AND ASSISTANCE OMBUDSMAN

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID’s acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman

The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov

[END OF SECTION G]
SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the cover page with the following:

“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

[END OF SECTION H]

[END OF RFA 7200AA22RFA00019]
ANNEX 1 - SUMMARY BUDGET TEMPLATE

All applicants are required to submit a summary budget using an SF-424A, which can be found at: https://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf

All applicants are required to submit a detailed budget which separates costs by prime, sub, and activity utilizing the document entitled “7200AA22RFA00019 ARC Budget Template” which is attached to this request for application.

Illustrative Information entered for Frings/ODCs has been entered but can be tailored as needed by the applicant.

Travel estimates have been entered on the Travel tab to assist the applicant in forecasting travel expenses.

[END OF ANNEX 1]
ANNEX 2 - STANDARD PROVISIONS

The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations. The award will also contain the following “required as applicable” Standard Provisions. The resulting award will include all standard provisions (both mandatory and required as applicable) in full text.

Note: the full text of these provisions may be found at:
- [https://www.usaid.gov/ads/policy/300/303maa](https://www.usaid.gov/ads/policy/300/303maa) and

### REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

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<tr>
<th>Required</th>
<th>Not Required</th>
<th>Standard Provision</th>
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<td>RAA4. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)</td>
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<td>RAA5. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)</td>
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<td>RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)</td>
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**REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS**

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ANNEX 3 - ABBREVIATIONS AND ACRONYMS

ADS           Automated Directive System
AO            Agreement Officer
AOR           Agreement Officer’s Representative
ARC           Asia Resilient Cities
BIS           Bureau of Industry and Security
CFR           Code of Federal Regulations
COP           Chief of Party
CSO           Civil Society Organizations
DRL           Democracy, Human Rights, and Labor
EAR           Export Administration Regulations
FAA           Foreign Assistance Act of 1961
FAQs          Frequently Asked Questions
FAR           Federal Acquisition Regulations
LGBTQI+       Lesbian, gay, bisexual, transgender, queer & intersex
MEL           Monitoring, Evaluation, and Learning
NGO           Non-Governmental Organization
NOFO          Notice of Funding Opportunity
OAA           Office of Acquisition & Assistance
OFAC          Office of Foreign Assets Control
RFA           Request for Applications
SAM           System for Award Management
SC            Selection Committee
SF            Standard Form
UEI           Unique Entity Identifier
USAID         U.S. Agency for International Development
USG           United States Government

[END OF ANNEX 3]

[END OF ANNEXES]