



U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

FY2016 & FY2017 Development Innovation Ventures
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Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, as represented by the [U.S. Agency for International Development](#) (USAID), [U.S. Global Development Lab](#) (Lab), invites applications for the [Development Innovation Ventures](#) (DIV) program.

The purpose of this APS is to disseminate information to prospective applicants so they may develop and submit applications for USAID funding. This APS: (A) describes the types of activities for which applications will be considered; (B) describes the funding available and the process and requirements for submitting applications; (C) explains the criteria for evaluating applications; and (D) refers prospective applicants to relevant documentation available on the internet. USAID/LAB anticipates awarding multiple grants and/or cooperative agreements as a result of this APS.

To be competitive under this solicitation, applications must be fully responsive to all directions under this APS document.



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DIV Background/Introduction

Development Innovation Ventures (DIV) supports the piloting and rigorous testing of innovative approaches to solving international development problems and supports transitioning those innovations with evidence of impact and cost-effectiveness to scale. DIV's aim is to create a portfolio of innovations across sectors that improves the lives of millions of the poor around the world, especially individuals in extreme poverty and other vulnerable groups.

DIV funds innovations that target USAID's Mission Statement.¹ We define innovation broadly to include new technologies, new ways of delivering and/or financing goods and services, more cost-effective adaptations of existing solutions, new ways of increasing uptake of existing proven solutions, or policy changes/shifts/nudges based on insights from behavioral economics. Innovations

¹ USAID's mission is to partner to end extreme poverty and promote resilient, democratic societies while advancing our security and prosperity.



need not be technology-based. DIV assesses proposals according to its core principles: rigorous evidence of impact, cost-effectiveness, and viable pathways to scale.

DIV employs a staged funding model, with the size of investment commensurate with evidence of potential for success. DIV recognizes that the organizations it supports will need flexibility to iterate and adapt innovations, and DIV strives to provide this flexibility. DIV's core principles are applied to each of the three stages of available funding as defined below and are reflected in the evaluation criteria used to assess an application's responsiveness to this solicitation.

To attract the best innovations, applications on all development topics and in all development sectors² are welcome. DIV welcomes applications from any organization eligible under D.2. below, provided its work will take place in a country where USAID operates. Learn more about DIV, including examples of past winners, at www.usaid.gov/DIV.

There are several types of projects that are not a good fit for DIV's objectives. This includes but is not limited to:

- Development interventions with limited potential to scale and poor demonstration of cost-effectiveness and impact (e.g., building schools, constructing orphanages)
- Basic scientific research (e.g., laboratory research of a prototype with no field testing; pharmaceutical testing before full regulatory approvals)
- Innovations on a private sector path to scale that lack a "base-of-the-pyramid" customer focus and are unlikely to lead to significant development impacts for the poor (e.g., e-commerce platforms in a developing country with a growing middle class)
- Planning or diagnostic tools, which typically are difficult to link directly to measurable development impacts
- Innovations that are applicable only in very limited contexts, limiting their scale potential
- Intermediaries with an indirect impact on development outcomes (e.g., incubators, accelerators, start-up bootcamps, conveners)
- Innovations with a very attenuated theory of change

DIV Core Principles

There are three core principles that drive DIV's search for innovative, impactful solutions to challenges in the developing world:

- **Evidence**—DIV is designed to help find, test, and transition to scale the most effective innovations, and encourages the use of rigorous testing methods (e.g., market tests,

² Although DIV strives to be open in all sectors, sometimes DIV's funding to support activities in certain sectors may be limited or unavailable during a given fiscal year, based on the nature of its appropriated funding. This is often the case in the health sector, and particularly for projects addressing HIV/AIDS, for which limited funding is available. If you have questions about what types of activities DIV may be able to support, please contact div@usaid.gov.



randomized controlled trials, A/B testing) as appropriate, given the stage of the proposal and the scale path. Evidence can encompass ultimate impacts (e.g., infant mortality) or improvements in implementation outcomes (e.g., take-up) for those solutions that have already been causally linked to ultimate impacts.

- **Cost-Effectiveness**—DIV seeks innovations that deliver more development impact per dollar than other ways of achieving the same development goals (e.g., increased literacy per dollar compared to existing practices aimed at improving literacy outcomes). Cost-effectiveness does not necessarily mean an innovation must be the lowest-cost innovation. Rather, cost-effectiveness is a function of both impact and cost. An innovation can be highly cost-effective either by achieving a considerably larger impact on specific development outcomes at comparable cost to existing alternative ways of boosting those outcomes, or by achieving comparable impact on specific development outcomes at considerably lower cost than alternatives.
- **Pathways to Scale**—The ultimate goal of DIV is to support solutions that scale sustainably to reach millions of people in the developing world within a decade. Solutions must have a potential pathway to scale, either a) commercially (i.e., a private sector pathway to scale); b) through incorporation into the practices of developing country governments and development funders (e.g., bilateral and multilateral donors and institutions; major philanthropies) (i.e., a public sector pathway to scale); or c) through a combination of commercial and public support (i.e., a hybrid pathway to scale). DIV recognizes that innovations can take a variety of scale paths but expects that ultimately they will grow without continued DIV support.³

The more funding requested, the more confidence DIV will need to have in the evidence base underpinning the innovation, the cost-effectiveness of the innovation, and its scalability. This includes gathering appropriate evidence of impact and/or commercial viability at each stage and for each type of scale path. Specific requirements regarding evidence, cost-effectiveness, and scaling expectations are described below, and may differ based on funding stage, type of innovation, and the pre-existing evidence base and lessons learned in a particular sector.

Points of Contact

For any questions regarding this APS, contact div@usaid.gov. EOIs must be submitted to divapplications@usaid.gov.

³ Throughout the document, “commercial scaling” refers to an innovation that will scale through the marketplace, relying on customer payments and/or financing arrangements from investors; “public scaling” refers to incorporating an innovation into the standard practices of developing country governments, donors, or philanthropists; “hybrid scaling” refers to a scaling approach that relies both on some form of revenue or investment capital as well as support from donors, governments, and philanthropists.



The Agreement Officer for this APS is Rod Watson, rwatson@usaid.gov, in USAID's Office of Acquisition and Assistance (OAA) in the Bureau for Management. If an application is awarded, the Agreement Officer will appoint an Agreement Officer's Representative (AOR) at that time to provide technical and administrative oversight of the specific award.

A. Stages of Financing

DIV funds projects in three stages, representing cumulative progress towards cost-effective impact at scale. Each stage provides an opportunity for an applicant to test a project's potential for measurable impact, cost-effectiveness, and potential for scale. The ultimate determination of funding stage and funding amount within a stage is based on the level of existing evidence of a solution's impact.

Applicants should apply for the stage they believe best reflects the current level of development and maturity of their innovation and the specific objectives of each stage described below. Applicants should request only the amount of funding they need to effectively execute the proposal, even if it is below the upper bound associated with a particular funding stage. Many DIV projects request far less funding than the ceilings at each stage. DIV recognizes that for many projects, the objectives described by these three stages do not represent sequential funding opportunities. Gaps or overlaps between stages may exist for many applicants, and the funding available for each stage may not represent the total amount required to address the questions addressed by the stage designation.

Applicants may apply at any of the three stages and need not start at Stage 1. Applicants applying for later stages need to demonstrate that they satisfy the requirements of earlier stages, even if the applicant met those requirements prior to engagement with DIV. If DIV disagrees with the stage at which the applicant applies, DIV reserves the right to unilaterally reassign the stage at any point in the application process. Applicants should justify funding needs through budgets and operational/financial forecasts.

DIV intends for investment at each stage to be catalytic for growth along an anticipated scale path, and strong applications demonstrate the potential for scale without relying on successive DIV stages of funding. Although DIV is open to funding a past awardee a second or third time and many DIV awardees apply for a subsequent stage of funding, most DIV awardees do not receive multiple stages of funding. DIV is also willing to provide an innovation more than one investment per stage; grantees have the opportunity to compete again within any stage, provided that they continue to demonstrate progress. The more funding requested, the deeper the due diligence, and the greater the expectations that the applicant will be able to demonstrate development impact and potential to scale.

Because new insights from successful scaling models and the impact evaluation field are always emerging, DIV may contact prospective partners with opportunities to validate their results using an external evaluator. Examples of external validation opportunities include, but are not limited to the following activities: reviewing the implementation and impact data, designing supplemental



evaluation of the solution to strengthen the evidence base behind it, and conducting on-the-ground due diligence.

Certain grantees that demonstrate exemplary performance under their current grant may also be eligible for a non-competitive follow-on award, permissible under ADS⁴ 303.3.6.5 (a)(2)(i)⁵.

Applicants for all stages should consider forming a coalition with partner organizations to best address these criteria. For example, a social enterprise wanting to rigorously evaluate their impact could identify an external research partner to design and implement the evaluation. Alternatively, an implementing organization may identify key local actors, such as government agencies or officials, committed to serving as partners to scale a successful pilot. Many DIV projects also leverage funding from other sources. It is not a requirement that a coalition be formed or additional funding be mobilized. However, if a prospective applicant believes either or both of these actions would strengthen the application, DIV encourages prospective applicants to consider cultivating those partnerships and other funding relationships in advance of applying to DIV, given how competitive the DIV review process is.

To justify projections regarding size of development impacts, market demand, costs, and scale paths, applications should explicitly note key assumptions, relevant data, and citations in the space provided in the Expression of Interest form.

Successful applicants successfully address the stage-specific requirements delineated below.

Stage 1 Proof-of-Concept/Field Testing – Awards within an approximate range of \$25,000 to \$150,000 (up to 3 years): Stage 1 testing is intended to introduce an innovation to target customers/beneficiaries in a developing country context to gain an early, real-world assessment of potential for technical, operational, organizational, and financial viability.

Successful Stage 1 proposals demonstrate responsiveness to DIV’s core principles by including the following components:

- Clear articulation of the innovation’s potential to generate significant improvements in specific development outcomes per dollar invested, more cost-effectively than alternative existing approaches. Although Stage 1 applicants are not expected to already have rigorous evidence of impact of the innovation, the theory of change articulated should be informed by

⁴ The “ADS” (Automated Directives System) is USAID’s Operational Policy. It outlines the organization and functions of USAID, along with the policies and procedures that guide the Agency’s programs and operations. It consists of over 200 chapters organized into six functional series. The information is continuously updated to align USAID’s policies with the latest Federal regulations, Administrator policy statements, and other overarching guidance. All ADS chapters are publicly available at: <https://www.usaid.gov/who-we-are/agency-policy>.

⁵ See ADS 303 (ADS 303.3.6.5 – a.2.i for more information): <http://www.usaid.gov/who-we-are/agency-policy/series-300>.



the broader body of evidence related to the specific development outcomes the applicant proposes to affect.

- Carefully selected tests to assess the potential for the innovation to work in the field or to help improve the innovation, make it more cost-effective, build evidence on outcomes, refine an implementation strategy, and/ or increase adoption. Testing should inform the potential for long-term financial and operational sustainability⁶ and should include well-defined metrics to judge success (with relevant targets).
- An implementation plan that demonstrates awareness of important risks, obstacles, and implementing opportunities, including external market factors in commercial scaling scenarios. The plan should clearly demonstrate a viable market for the innovation, with the potential to reach millions of people at scale.
- A plan to track the full costs of implementing the innovation, estimate the costs at scale, and compare these costs with those of existing alternative practices.
- A project team with relevant experience and expertise to execute the proposed plans. Clear roles, demonstrated capabilities, and a corresponding level of effort (percent of full time) to ensure successful implementation. The team may include relevant partners who play critical roles to facilitate testing and growth.

Stage 2 Testing and Positioning for Scale – Awards within an approximate range of \$150,000 to \$1,500,000 (up to 3 years): Stage 2 funding is intended to rigorously test promising innovations that 1) already have some proof-of-concept to measure development impact and cost-effectiveness and/or establish market viability, and 2) through implementation at sufficient scale, generate lessons to inform paths to further scale and sustainability, for example through operational refinement.

Successful Stage 2 proposals demonstrate responsiveness to DIV’s core principles by including the following components:

- Clear articulation of the innovation’s potential to generate significant improvements in specific development outcomes per dollar invested, more cost-effectively than alternative existing approaches. In articulating the potential impact of the innovation, the applicant should draw on evidence of prior success and include a description of the positive results and scale of their earlier work, and estimates of unit costs.
- Carefully selected tests that generate information relevant to the applicant organization and key partners to encourage further scale, including credible empirical evidence on the development impact of the innovation, establishing a clear causal link between the innovation

⁶ Relevant testing could include assessing user demand, willingness to pay, correct usage of products and services, viability of distribution channels, or documenting development outcomes and real world costs to implement the innovation.



and the development impact. This testing must credibly distinguish the impact of the innovation from potential confounding factors⁷.

- An implementation plan that allows for testing and refinement to better position the innovation for scale and/or adapt the innovation for new contexts. This may include identifying strategies to address barriers to scale-up (legal, political, regulatory, etc.); conducting financial analyses of the potential to commercialize; and/or developing relationships with potential scaling partners. The plan should clearly demonstrate a viable market for the innovation, with the potential to reach millions of people at scale.
- Identification of financial inputs that will be required to scale the innovation over time, and a plan for how to obtain such resources. This includes strategies for cost recovery in the case of innovations that are intended to scale commercially, or fundraising and partnership plans for those innovations with a public pathway to scale. Applicants should discuss how they will use their Stage 2 project to catalyze either growth of the innovation directly or further investment that will allow for future growth.
- A plan to track the full costs of implementing the innovation, estimate the costs at scale, and compare these costs with those of current practices.
- A clear articulation of relevant metrics or key performance indicators which the applicant will track to demonstrate progress against project objectives.
- Project team with relevant expertise and capabilities to conduct the proposed activities and vision for how the organization will identify the resources, recruits, and/or partners required to scale the innovation, particularly if the organization is not well-suited to perform the tasks required to scale the innovation post-award, itself. Ideally, applicants will provide evidence of commitments from partners. Applicants are encouraged to include anticipated project partners in appropriate roles in the proposed activities.

Stage 3 Transitioning Proven Solutions to Scale – Awards within an approximate range of \$1,500,000 to \$15,000,000 (up to 5 years): Stage 3 funding is intended to adapt a tested and proven innovation to new contexts and to engage additional partners who will help scale the project beyond DIV support, but for whom greater evidence of success and a more established track record are needed.

Successful Stage 3 proposals demonstrate responsiveness to DIV’s core principles by including the following components:

- A clear case that the innovation has the potential to generate significant social impacts per dollar invested, either by sustainably reaching millions of people or by dramatically improving lives for a significant proportion of those affected by a development challenge affecting

⁷ Relevant testing could include a randomized controlled trial (RCT) or an appropriate quasi-experimental design. Where there is an existing evidence base that connects the innovation development outcomes, it is appropriate to measure intermediate outcomes, such as the effect of the innovation on the uptake or usage of life-improving products. Where such evidence does not exist, it is appropriate to measure ultimate development outcomes, such as infant mortality or disability-adjusted life years (DALY).



smaller numbers of people. This case should include a discussion of the existing evidence base for the proposed solution and external validity (generalizability) of such evidence to new contexts.⁸

- A scaling plan for building the necessary operational capacity, systems, partnerships, and financial support to drive the innovation towards sustainability and scale. Scaling may include expanding the innovation to a new context/geography and/or executing the innovation within the systems of potential scaling partners. This plan should include a discussion of how the applicant will involve and work with potential scaling partners (e.g., investors, existing large commercial firms, or developing country governments) to adapt the innovation to suit their context, and an assessment of whether the innovation can continue to operate at low cost and high impact in new and larger contexts, and of strategies to drive down costs while maintaining quality. The plan should discuss how new challenges or cultural, political, environmental considerations may affect the success of the innovation as it scales, and allow for refinement and iteration.
- A clear discussion of how DIV funds are necessary to the scaling process and how DIV funding will be catalytic in pursuing this scale path. This discussion should identify financial inputs that will be required to scale the innovation over time, and a plan for how to obtain such resources.
- A plan to track the full costs of implementing the innovation at scale and compare these costs with those of current practices. This plan should include a comparative assessment of the cost of implementation in new contexts and a description of systems used (or planned for use) to track costs.
- Project team with the capability to implement the proposed activities and skills necessary to guide the solution on a credible path to meaningfully improving development outcomes within the next decade. A successful Stage 3 project team will include anticipated project partners in appropriate roles in the proposed activities, to generate relevant implementation lessons of the model at scale and support sustainability of the model at scale beyond DIV funding support.

B. Evaluation Criteria

DIV will use the following criteria to assess applicants at both the Expression of Interest and Due Diligence Stage in the application process. These criteria reflect DIV's core principles outlined above, and are applied to applications of all stages of funding requested. See Section A above for more details on DIV's stage-specific expectations. Responsiveness to each criterion below will be assessed using the below Evaluation Matrix.

⁸ Note that while this evidence should be comparable to what would have come out of a DIV Stage 2 award, it need not come from evaluations previously financed by DIV or by the applicant. In cases where more evidence is needed on the impact of the innovation in other contexts beyond those tested earlier, the proposed activities should include steps to continue to develop this evidence. Depending on context, this could take the form of additional rigorous impact evaluation or of more basic monitoring.



Innovation - DIV will assess the application for the degree to which it demonstrates:

- Clear articulation of the specific innovation to be implemented and tested.
- A clear theory of change that draws upon existing evidence when applicable/available and a clear understanding of current barriers to success.
- Potential social benefit to customers/beneficiaries.
- Possibility of sustainably reaching millions of individuals within ten years.
- A clear case that the innovation can feasibly achieve better results at lower cost than the status quo or alternatives.

Plan - DIV will assess the application for the degree to which the implementation plan demonstrates:

- Stage-appropriate plans to build operational capacity, systems, and partnerships to drive the project or organization towards scale.
- Stage-appropriate, targeted strategy for securing long-term financial support and engagement of stakeholders that will drive the organization towards sustainability after DIV funding has ended.
- Clear systems to document the costs of implementation and ongoing financial requirements.
- Likelihood that DIV funds will be used to effectively catalyze expansion of the solution, including strategic use of leverage and/or cost-share.
- Ability of the applicant to successfully implement and execute the project as designed, which includes demonstrated past experience with projects of similar magnitude, complexity, objectives or in similar contexts.

Monitoring and Evaluation - DIV will assess the application for the degree to which the monitoring and evaluation plan demonstrates:

- Reasonable tests of technical, organizational, operational, and financial viability in a real-world setting that can inform future implementation.
- Appropriate choice of methodology for assessing the commercial viability, cost-effectiveness, and/or development impact of the innovation.
- Well-defined metrics for judging success and articulated means by which they will be collected.

Team - DIV will assess the application for the degree to which the project team (including partners) demonstrates:

- Relevant experience and expertise to execute the proposed plans.
- Clear roles and level of effort (percent of full time) necessary to be successful.
- Understanding of current context on the ground and potential challenges to implementation, and capabilities to address them should they occur.
- For Stage 2 proposals, a credible pathway to scale is essential and involvement/commitment of partners will be part of the assessment of whether this exists; for Stage 3 proposals, there should be involvement and/or commitment of stakeholders essential to ensuring scale up.



Evaluation Matrix

DIV will use the following scoring methodology to assess each application’s responsiveness to the above evaluation criteria:

Rating	Description
Excellent	Exceeds expectations in that it is comprehensive, thorough, and with exceptional merit, demonstrating that the proposed project will likely result in effective and efficient performance. Exhibits no deficiencies.
Very Good	Demonstrates overall competence, meets all minimum requirements, and exceeds requirements in some areas, but not all. Even if there are some identified weaknesses, the applicant demonstrates that it can successfully complete all deliverables in a timely, efficient, and economical manner.
Good	Meets requirements. While the applicant demonstrates an ability to complete the work in some areas, there are some significant weaknesses or deficiencies. However, these combined weaknesses or deficiencies still represent a manageable performance risk.
Fair	Minimally meets basic requirements or demonstrates a limited understanding of the requirements. Implementation of the proposed project would likely lead to unsatisfactory performance. Contains deficiencies and weaknesses that may negatively affect performance.
Poor	Many deficiencies, including failure to address key elements, failure to understand work necessary to perform the required tasks, or failure to provide a reasonable approach to fulfilling requirements. Performance risk is high.
Nonresponsive	Fails to address all elements of the criteria; fails to understand the work necessary to perform the required tasks; fails to meet the requirements of the solicitation.

C. Application & Award Process

The amount of resources made available under this APS will depend on the concepts received and the availability of funds. DIV will review applications on a rolling basis, so applicants are encouraged



to submit Expressions of Interest (EOIs) at any time through November 2, 2017, at which time DIV fully expects to issue another APS.⁹ Information on the target response time, and on any special deadlines, is available at www.usaid.gov/div/timelines.

The award process under this APS has the following steps:

C.1. **Expression of Interest:** All interested organizations must first submit an up to 8-page initial Expression of Interest (EOI). This is the first step in the application process. Interested organizations may download the EOI form at www.usaid.gov/div/EOI. EOIs can be submitted any time to divapplications@usaid.gov and will be reviewed on a rolling basis from **November 2, 2016 to November 2, 2017**. If initial review indicates the EOI merits further consideration, selected organizations or consortia of organizations may be invited, individually or in combination, to the Due Diligence Stage (described in C.2 below). After an EOI is received, DIV reserves the right to pose clarifying questions and conduct discussions with any applicant, but may not opt to do so if it believes it has sufficient information in the EOI itself. Posing clarifying questions and conducting discussions with one applicant does not obligate DIV to do so with all applicants.

C.2. **Due Diligence Stage.** For EOIs that DIV deems to have sufficient merit, DIV will issue an invitation to collaborate and “co-create” with the applicant. This is the second, more intensive stage of the application process, known as the Due Diligence Stage, into which only a small subset of applicants will be invited, based on historical experience. During this stage, DIV may request to interview the applicant, request supplementary materials which further outline the technical approach and its responsiveness to DIV’s principles, submit follow-up questions to the applicant, contact other funders of and partners to the applicant, engage experts within USAID or external experts to review and comment on specific elements of the application, and any other information-gathering DIV deems necessary in order to fully review and evaluate the application. The supplementary materials that an applicant may be requested to submit may include an initial budget, financial model, proposed milestones, and implementation plan if relevant. DIV may assist the applicant in the development of this information.

Additional Partners/Resources. During the Due Diligence Stage, both the applicant and USAID may identify additional partners¹⁰ and resources, and whether additional mechanisms are necessary to

⁹ Historically, DIV has issued solicitation documents on a regular basis, such that there have been minimal, if any, gaps between solicitations. In practice, therefore, this means applicants can apply at any time.

¹⁰ If additional partners are identified, invitations will be sent to the potential partners to participate in a co-creation workshop, conference, meeting, or the method designated by USAID to work together with all invitees to further develop the idea initially presented in the Expression of Interest. All potential partners may not move forward to C.3.



implement the project. Shared resourcing may be accomplished through funding by DIV, the award recipient, and/or third parties, either through cash resources or the exchange of other resources, both tangible and intangible, such as in-kind contributions, expertise, intellectual property, brand value, high-value coordination, and access to key people, places, and information. Co-investing does not require equally shared resourcing (such as 1:1 leverage), but rather resource contributions that are appropriate to the specific project’s objectives, considering the comparative advantages brought by the participation of each party and the award type.

C.3. Review by a Decision Panel. All applications will be reviewed for their technical merit by a Decision Panel, comprised of USAID and Non-USAID Development Experts. USAID may request applicants who have submitted EOIs for larger awards to present their application to the Decision Panel via teleconference, videoconference, or to travel to USAID/Washington at their own expense. The Decision Panels will only meet with applicants when they determine a meeting is necessary; applicants should not contact DIV to schedule a presentation.

Based on the criteria outlined in Section B above, the Decision Panel will recommend which EOIs be advanced to the Agreement Officer for award instrument negotiation and finalization. Using its technical expertise, the Decision Panel may suggest revisions and additions to the proposed project as well as potential partners and resources. All potential partners may not move forward to C.4 below. The inclusion of additional partners will only occur when it makes technical sense and there is agreement to include additional partners between the applicant and DIV.

C.4. Agreement Officer Determination. If the Decision Panel selects an application for funding, its review will be shared with the Agreement Officer for final approval and award negotiation. During this stage, the Apparently Successful Applicant and DIV can further design the technical approach, general resource requirements, and management control of the project under the guidance of the Agreement Officer.

Request for Additional Information. If necessary, the Apparently Successful Applicant and DIV may also work with partners identified by the Decision Panel, to provide additional information on the approach. The Apparently Successful Applicant may also be asked to provide more information about its technical approach, capacity, management and organization, past performance, and budget, as well as representations and certifications, as needed.

below. The inclusion of additional partners will only occur when it makes technical sense and there is agreement to include additional partners between the original applicant and DIV.



Final Review and Negotiation. The Agreement Officer will engage in final review, negotiation, and determinations of award instrument type, responsibility, and cost reasonableness, and will craft an award instrument with the Apparently Successful Applicant. If the Apparently Successful Applicant and USAID cannot arrive at a mutually agreeable arrangement, the Agreement Officer will cancel the project at no cost to the Government.

Award. The USAID Agreement Officer will award the instrument.

D. Award Information

The number of awards could vary annually, and may not mirror the number of Expressions of Interests or invitees to co-creation.

D.1. Awards under this APS will be made to Apparently Successful Applicants on the basis of their ability to further USAID's goal of dramatically improving or saving the lives of the poor in developing countries and reflect DIV's core principles, and that provide the best value to the Government to substantially contribute to these objectives.

D.2. Eligibility Information. Public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, public international organizations, non-governmental organizations, U.S. and non-U.S. governmental organizations, multilateral and international donor organizations are eligible under this APS. All organizations must be determined to be responsive to the APS and sufficiently responsible to perform or participate in the final award.

All applicants must be legally recognized organizational entities under applicable law. Local organizations are eligible and encouraged to apply, as well as consortia of local organizations. Participation of foreign government organizations under this APS is possible only through an approved subaward agreement with a prime recipient.

USAID encourages applications from new partners. Resultant awards to new partners may require USAID to undertake necessary pre-award reviews of these organizations to determine "responsibility" in regards to fiduciary and other oversight responsibilities of the award. In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is "responsible" as discussed in ADS 303.3.9.

D.3. Standard Clauses and Provisions of Award. The standard clauses or provisions for awards are generally prescribed by law and regulation. Information regarding clauses and provisions will be offered to the applicant when the award is drafted.



D.4. Organizations are encouraged to consider providing reasonable cost sharing, leverage, or other exchange of resource arrangements, and are encouraged to suggest creative approaches to resourcing projects.

D.5. Ongoing programs. Any follow on, or continuation of a program applying for additional funding, must demonstrate a proposed change or adaptation in scope or direction in response to the APS. Such programs should clearly explain in their application their progress to date and update the context for their program as well as demonstrate why continuation of programming will contribute to the overall goals of the APS. Programs applying for ongoing funds must highlight why continued programming will contribute to a sustainable approach – simply applying for another award because a previous or current award is running out of funding is not in and of itself sufficient justification.

E. Special Funding Opportunities

Periodically, DIV collaborates with internal or external partners to establish a special funding window focused on a particular country, region, or sector. Special windows that are currently open include the following:

- **[Water, Sanitation, and Hygiene \(WASH\) Focused Funding Opportunity, WASH for Life](#)**. In partnership with the Bill and Melinda Gates Foundation, the specific objective of WASH for Life is: to identify, test, and transition to scale promising approaches to achieving cost-effective, sustained, scalable outcomes in the water, sanitation and hygiene sectors to significantly improve the lives of the impoverished around the world. All applicants should apply via DIV's general competition; WASH applicants that apply to the general competition will be reviewed under this special funding window.

In the past, DIV has collaborated on the following special windows that are now closed:

- Innovation Fund for the Americas (IFA) with USAID missions in Latin America and the Caribbean
- Humanitarian Innovation Initiative with the U.K. Department for International Development

Despite the closure of these special windows, DIV continues to accept applications in its general competition that relate to Haiti, Latin America and the Caribbean more broadly, and the humanitarian sector.

Periodically, we may open additional special funding opportunities, which will be posted at www.grants.gov and www.usaid.gov/div.



F. Application

Format

Please submit your Expression of Interest (EOI) using the form found at www.usaid.gov/div/EOI. Those applicants that have the most promising EOIs will be contacted by DIV and invited to the Due Diligence Stage. Due to the sheer volume of applications and the nature of EOIs received by DIV, it is possible that you may not receive detailed feedback on why your application was not accepted.

Applications must be submitted to DIVapplications@usaid.gov. Applications sent by any other means (including Grants.gov) will not be considered. The DIV website, www.usaid.gov/div, contains detailed content that is useful for applicants. Please do not contact USAID staff with general questions.

Other Application Parameters

USAID reserves the right to fund any or none of the applications submitted. DIV seeks to select projects across a wide range of technical and regional areas across all three stages. USAID will not fund applications that, in its view, will result in the use of U.S. taxpayer funding in a duplicative or redundant manner. This includes activities determined to be outside of the best interest and value to the United States Government.

If DIV identifies opportunities to strengthen or fund an application by connecting with other USAID mechanisms, other potential funders, and/or external partners, USAID/DIV may make that application available internally or externally for appropriate consideration.

Additional Information on Award Administration

- General Information: www.usaid.gov/div
- Information regarding the award solicitation and award process and Standard Provisions for U.S. organizations and Non-U.S. Non-governmental Organizations is available in ADS 300 (Chapter 303 is particularly helpful): <http://www.usaid.gov/who-we-are/agency-policy/series-300>.
- Grant and Contract Process (most relevant for applicants include steps 7/8): <http://www.usaid.gov/work-usaid/get-grant-or-contract/grant-and-contract-process>
- For US organizations, 2 CFR 200, [OMB circulars](#), and the Standard Provisions apply.
- For non-U.S. non-governmental organizations, the [Standard Provisions for Non-U.S. Non-Governmental Organizations](#) apply.



- Intellectual property¹¹ and other issues:
http://www.ecfr.gov/cgi-bin/text-idx?SID=d3769da5cf0d02900f539c8deb2cd59c&mc=true&n ode=se2.1.200_1448&rgn=div8.
- Environmental Compliance background information:
http://www.usaid.gov/our_work/environment/compliance
- Information on how the Agency will ensure environmental soundness and compliance in design and implementation when required by the 22 CFR 216 determination (ADS 204):
<http://www.usaid.gov/who-we-are/agency-policy/series-200>
- Branding and Marking policy and frequently asked questions:
<http://www.usaid.gov/branding/assistance-awards/frequently-asked-questions-marking-requirements-assistance-awards>
- USAID's Gender Equality Policy
<http://www.usaid.gov/sites/default/files/documents/1870/GenderEqualityPolicy.pdf>

¹¹ In general, awardees may elect to pursue ownership of intellectual property that is developed as a result of an award from this APS. In such cases, USAID would typically retain a nonexclusive, non-transferable, royalty-free license to use any such intellectual property