



Building Alliance for Local Advancement, Development and Investment

BALADI Program – RFCA R2 2021

Request for Community Assistance (RFCA – Round 2)

ANNEX I

Selection Process and Evaluation Criteria



Type of Award: In-Kind Assistance

All applicants should note that the award is based on in-kind assistance, whereby Caritas BALADI Team, in coordination with the awardees, will be leading all the procurement aspects of this grant including identification of the suppliers/consultants/trainers through a clear scope of work fairly open to all interested candidates; Handling the procurement process will facilitate the process and ensure the compliance with USAID and Caritas Lebanon's Procurement policies in addition to ensuring the cost-efficiency. The trainer and consultant nominated or referred by the applicant will be given priority at equivalent performance.

All applicants who do not consider this a viable option, should not proceed with filling the application form.

Selection Process and Evaluation Criteria

The selection process and evaluation criteria have two goals:

- 1- Assist BALADI team with the evaluation of the received applications.
- 2- Guide the applicants with their applications and check their administrative and project eligibilities.

Two important criteria are key factors in the project selection:

- The realistic financial and operational sustainability plans of the project, which should include how the applicant intends to cover the project's operational expenses in the mid and long terms without relying solely on donations and sponsorships.
- The extent to which the proposed intervention will improve livelihoods or generate economic opportunities for the targeted population.

Below is a detailed breakdown of the RFCA round 2 process:

Phase 1 – Shortlisting of top applications

1. Screening – to filter the applications according to eligibility criteria;
2. Evaluation – to evaluate the applications that pass the screening based on technical criteria; this will result in a score;
3. Vetting, due diligence and Shortlisting – to shortlist the top applicants according to scoring evaluation.

Phase 2 (only for shortlisted applicants)

1. Developing of full proposals in collaboration between the BALADI team and applicants.
2. Acquiring USAID approval.

Phase I – Shortlisting of top applications

1) Screening

Screening is composed of two elements: Entity/Project Eligibility (1.1) and Administrative Compliance (1.2)

1.1 Eligibility: Eligibility of entities (applicant and partner if applicable) and type of projects are per below:

The applicant is highly encouraged to have a partner with one local community group such as an NGO, CBO (community-based organization), CSO (civil society organization), private sector entity, diverse groups, municipality, unions of municipalities, or economic groups and key community collaborators. In that case, the applicant partner should be established, registered and active in Lebanon (i.e. the organizations are established by or accredited under an instrument governed by the internal law of Lebanon) for at least 12 months before the announcement of the RFCA.

Eligible Entities	YES/NO
a) The applicant should be an NGO (non-governmental organization) preferably FBO (faith-based organization) established, registered and active in Lebanon (i.e., the organizations are established by, or accredited under an instrument governed by the internal law of Lebanon) for at least 3 years before the announcement of the RFCA.	YES <input type="checkbox"/> NO <input type="checkbox"/>
b) The applicant is not a lead in more than one RFCA application.	YES <input type="checkbox"/> NO <input type="checkbox"/>

EXAMPLES OF ELIGIBLE PROJECT TYPES:

Types of projects that will be accepted under the RFCA 2021 (Round 2) include:

- Livelihood and Protection programs (income-generating activities – job creation - psychosocial support, and social services, among others.);
- Peace-building and conflict resolution activities.
- Social stability and social cohesion activities,
- Vocational training and capacity building programs;
- Provision of equipment and materials (Agriculture, vocational training, etc....);
- Small-scale renovation and rehabilitation work etc. (no new installations allowed, only reparations and rehabilitation are considered eligible);
- Economic empowerment.

INELIGIBLE PROJECTS:

No funding will be provided to applications/projects defined in the list below:

1. Projects that support political movements;
2. Political party campaign activities;
3. Recurrent costs (for example: operational costs or recurrent salaries under a proposed project);
4. Retrospective activities; i.e. costs that have been incurred in the past and therefore precede a possible USAID grant date;
5. Academic research;
6. Agriculture-related activities (plant nurseries establishment, etc....)
7. Large-scale infrastructure;
8. Large-scale construction;
9. Large-scale irrigation projects;
10. Artesian Wells;
11. Dams or River Training Works;
12. New Land Development;
13. Health-related activities;
14. Basic food assistance;
15. Housing assistance;

16. Relief services;
17. Religious activities, religious content, religious education or instruction, worship or proselytization.
18. Formal Education

1.2 Administrative Compliance:

Applications will be checked for their **administrative compliance**. Applications that fail to fulfill the administrative requirements below will be disqualified.

Administrative compliance	YES/NO
a) All required documents are filed accurately and completely: Application Form Cost Application (Annex 2) Certifications and Assurances (Annex 3)	YES <input type="checkbox"/> NO <input type="checkbox"/>
b) The NGO/FBO used the RFCA 2021 Application Form Template	YES <input type="checkbox"/> NO <input type="checkbox"/>
c) Applications must include proof of participatory approach in the proposed project in order to effectively involve local actors and community in the implementation. (minutes of meeting, list of activities, etc...).	YES <input type="checkbox"/> NO <input type="checkbox"/>
d) All relevant and legal documents are attached to the Application Form and are properly filled, signed and stamped.	YES <input type="checkbox"/> NO <input type="checkbox"/>
e) Budget and financial forms are presented in the requested format, signed and stamped.	YES <input type="checkbox"/> NO <input type="checkbox"/>
f) The USAID requested budget is equal to or less than US\$ 50,000 per application.	YES <input type="checkbox"/> NO <input type="checkbox"/>
g) The project does not include cash grants to NGOs/FBOs, government entities, or individuals.	YES <input type="checkbox"/> NO <input type="checkbox"/>
h) The duration of project implementation is less than or equal to two months. An exceptional one-month period can be added if justified and if the reasons pertain to project closure procedures.	YES <input type="checkbox"/> NO <input type="checkbox"/>
i) The application includes a management and sustainability section and a commitment from relevant entities to sustain the project after the end of the BALADI possible grant.	YES <input type="checkbox"/> NO <input type="checkbox"/>
j) USAID forms and certifications are filled, signed and stamped. These forms include but are not limited to anti-terrorism certifications, debarment and suspension certifications, drug-free workplace certifications and other applicable certifications and other forms required under USAID programs.	YES <input type="checkbox"/> NO <input type="checkbox"/>
k) The Past Performance section about previous/ongoing donor projects is filled. If there are no projects that are applicable, then the applicant should indicate that there are no applicable projects and should sign.	YES <input type="checkbox"/> NO <input type="checkbox"/>
l) Environmental Compliance: the project is environmentally sound and compliant with Lebanese environmental requirements and USAID Regulation 216 requirements. Environmental compliance forms are included.	YES <input type="checkbox"/> NO <input type="checkbox"/>

***Unallowable Costs:** Advertising and public relations costs, Advisory councils, Alcoholic beverages, Audit costs and related services, Bad debts, Bonding costs, Communication costs, Compensation for personal services, Contingency

provisions, Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement, Depreciation and use allowances, Donations and contributions, Employee morale, health, and welfare costs, Entertainment costs, Fines and penalties, Fund raising and investment management costs, Gains and losses on depreciable assets, Goods or services for personal use, Housing and personal living expenses, Idle facilities and idle capacity, Insurance and indemnification, Interest, Labor relations costs, Lobbying, Losses on other sponsored agreements or contracts, Membership and subscription costs, Organization costs, Page charges in professional journals, Patent costs, Plant and homeland security costs, Pre-agreement costs, Publication and printing costs, Rearrangement and alteration costs, Reconversion costs, Recruiting costs, Relocation costs, Rental costs of buildings and equipment, Royalties and other costs for use of patents and copyrights, Selling and marketing, Taxes, Termination costs applicable to sponsored agreements, Transportation costs, Travel costs, Trustees, Military equipment, Surveillance equipment, Commodities and services for support of police and other law enforcement activities, Abortion equipment and services, Luxury goods, Gambling equipment, Weather modification equipment. (OMB Circular No. A122 and ADS Chapter 312). Costs incurred by applicant to prepare and submit the application.

2) Evaluation

Only applications that pass the two elements of the screening process (eligibility and administrative compliance) will be subject to the **Technical Evaluation**. Technical Evaluation is based on scoring against technical evaluation criteria specified in the section below, whereby a complete score is 100/100. Below rating definitions apply to scoring and reflect BALADI program's confidence in each NGO/FBO project's ability, as demonstrated in the application, to perform the requirements stated in the RFCA 2021.

PERCENT	ADJECTIVAL	DEFINITION
90-100%	Outstanding	<u>Outstanding</u> : A comprehensive and thorough application of exceptional merit. Application meets BALADI requirements and presents no overall degree of risk of unsuccessful contract performance. Strengths significantly outweigh any weaknesses that may exist.
80-89%	Very Good	<u>Very Good</u> : An application demonstrating a strong grasp of the requirements. Application meets BALADI requirements and presents a low overall degree of risk of unsuccessful contract performance. Strengths significantly outweigh any weaknesses that exist.
70-79%	Good	<u>Good</u> : The application shows a reasonably sound response and a good grasp of the requirements. Application meets BALADI requirements and presents a moderate overall degree of risk of unsuccessful contract performance. Strengths outweigh weaknesses.
60-69%	Marginal	<u>Marginal</u> : The application shows a limited understanding of the requirements. Application meets some or most of the BALADI requirements but presents a significant overall degree of risk of unsuccessful contract performance. Weaknesses equal or outweigh any strengths that exist.
<60%	Unacceptable	<u>Unacceptable</u> : Some or all of the application may consist of a mere restatement of the BALADI requirements. Application does not meet the RFA requirements and presents an unacceptable degree of risk of unsuccessful contract performance. Deficiencies and significant weaknesses demonstrate a lack of understanding of the

		Government's needs. Weaknesses and or deficiencies significantly outweigh any strength that exists.
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Applications that have passed the screening process will be technically evaluated and scored by the RFCA evaluation committee as per the evaluation criteria listed in this document. Evaluation criteria have been assigned weighting factors based on their relative importance and significance in the success of the project. Below are the evaluation criteria and their weights (a table summarizing the main criteria is presented below followed by breakdown per sub-criterion and descriptions):

Technical Evaluation Criteria	Weight
1. Approach and Methodology	50%
2. Impact and Sustainability	20%
3. Institutional Capacity, Past Performance, Project Management	30%
TOTAL	100%

1. Approach and Methodology (50%)

Criteria	Description	Analysis	Total Score	Scoring
Project Concept	<ul style="list-style-type: none"> ▪ The project adequately responds to threats, opportunities, needs, or issues identified by the local community; ▪ The project is based on a need's assessment; 	<ul style="list-style-type: none"> - Outstanding - Very good - Good - Marginal - Unacceptable 	20	
Project Objectives	<ul style="list-style-type: none"> ▪ Project has innovative solutions to the provision of services, citizen engagement, and social and economic issues facing the community; ▪ The project illustrates a strong commitment to social change and local development; ▪ The project expands broad citizen participation, particularly youth and women; ▪ The project encourages economic development and creation of new jobs; ▪ The project encourages or implements public-private partnerships; ▪ The project builds on existing infrastructure, facilities, and/or activities funded by previous or other on-going USAID or other international programs or national programs; or the 	<ul style="list-style-type: none"> - Outstanding - Very good - Good - Marginal - Unacceptable 	15	

	project is a new innovative concept not redundant with other projects.			
Cross-Cutting Themes	The project promotes cross-sector and multi-disciplinary approach; i.e., the Project elements and cross-cutting themes include: gender, youth, People with Disability (PWD), women and children at risk, social services, environment, etc.	- Outstanding - Very good - Good - Marginal - Unacceptable	5	
Participatory approach, and networking	<ul style="list-style-type: none"> ▪ Participatory Approach: The project demonstrates local level participation in the identification and design of the project, with a broad-based community appeal, acceptance and support. ▪ The project details are/will be available to the public to promote transparency throughout all stages of the project. ▪ Building partnership with other NGOs or FBOs throughout the project implementation 	- Outstanding - Very good - Good - Marginal - Unacceptable	10	

2. Impact and Sustainability (20%)

<i>Criteria</i>	<i>Description</i>	<i>Analysis</i>	<i>Weight</i>	<i>Scoring</i>
Project Sustainability	<p>The project includes a sustainability plan with resources for operation and management beyond the end of USAID assistance.</p> <ul style="list-style-type: none"> ▪ <u>Administratively</u>: Operation and management plan, source of resources and commitment to resources that the applicant commits to following the end of project duration. ▪ <u>Financially</u>: How the project will be financed after USAID funding ends is clearly explained and demonstrated through a well-calculated sustainability plan which demonstrates a viable return rate. 	- Outstanding - Very good - Good - Marginal - Unacceptable	10	
Impact	<ul style="list-style-type: none"> ▪ The project will have tangible impact on its beneficiaries. The targets should be reached within the project implementation timeframe (number of beneficiaries, completion of trainings...) 	- Outstanding - Very good - Good - Marginal - Unacceptable	10	

	<ul style="list-style-type: none"> ▪ A target and beneficiaries table is included. The proposed targets and number of beneficiaries are realistic and achievable. ▪ The number of beneficiaries justifies the investment. ▪ The beneficiaries are supported in a non-partisan, non-nepotistic, non-favoritism manner. ▪ The project is delivered in an equitable, non-partisan, non-discrimination manner in its beneficiary and staff recruitment. ▪ The project equitably benefits the targeted communities. The project beneficiaries include women and/or youth. ▪ The project beneficiaries include economically disadvantaged persons or communities subject to socio-economic stress. 			
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3. Institutional Capacity, Past performance, and Project Management (30%)

<i>Criteria</i>	<i>Description</i>	<i>Analysis</i>		<i>Scoring</i>
Institutional Capacity of the applicant	<ul style="list-style-type: none"> ▪ Applicant history, main activities and aim are clearly described. ▪ A simplified applicant organizational chart is included and is sound. ▪ Financial and monitoring systems of the organization are set. 	<ul style="list-style-type: none"> - Outstanding - Very good - Good - Marginal - Unacceptable 	5	
Past Performance	<ul style="list-style-type: none"> ▪ Through a table, the applicant has provided a simplified list of projects they have implemented in the past or are currently implementing. The list includes the name of the project, donor, duration, value, brief description. BALADI program also reserves the right to obtain past performance information from other available sources. ▪ The applicant has a history of successful use of grant funding and/or implementation of projects. If the applicant has no past performance history, then the applicant will receive a neutral rating for this criterion. 	<ul style="list-style-type: none"> - Outstanding - Very good - Good - Marginal - Unacceptable 	10	

Project Management	<ul style="list-style-type: none"> ▪ The management and operational sections of the project are available and sound. ▪ Roles, actions and responsibilities of the entities managing the project are clearly identified and appropriately assigned (Project Organizational Chart). ▪ Proposed personnel for operating the project have been identified. They are qualified and committed to the project. ▪ Resumes of the core project team are presented as an annex to the application. 	<ul style="list-style-type: none"> - Outstanding - Very good - Good - Marginal - Unacceptable 	15	
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Cost Considerations

Each application should include a detailed budget breakdown by filling the cost application available on Annex 2 of the application package.

Applicants should accurately specify the items and services listed below based on market research (Request for Quotations):

- 1- Full technical specifications attached and summarized in the cost application next to each item
- 2- The number of hours, days and tasks related to the consultant or any trainer wage.
- 3- Rehabilitation work, if available should clearly show two separate budget lines for services (E.g., installation of X item) and the items themselves (E.g., X item lamps, pipes) - listed by quantity and described.

The budget will be assessed for cost-effectiveness and cost realism. Cost-sharing contributions (if applicable) will also be assessed for cost realism. The proposed costs and supporting budget data will be reviewed to determine: (1) if the financial plan reflects reasonable, allocable and allowable costs; and (2) if it includes reasonable and realistic cost-sharing contributions.

In-kind cost share is recommended to demonstrate the goodwill and commitment of partners towards the project's sustainability and impact.

In evaluating cost realism, the BALADI evaluation committee will examine that the proposed project cost:

- a. Reflects a clear understanding for the work to be performed;
- b. Reflects a clear understanding of proposed project requirements;
- c. Is consistent with the technical application.

Below **definitions, roles and procedure**, and **checklists** aid the ability of BALADI cost evaluation committee to document the result of the cost realism analysis; this analysis can include other items in addition to the below checklist (based on the nature of the project).



Definitions

- a. **Cost:** is a component of price. Cost is a monetary measure of the expenditure for capital (equipment, material, infrastructure) and labor required to establish and bring the project to operation and sustainable functionality.
- b. **Allocable Cost:** incurred solely to advance the work under the proposed project.
- c. **Allowable Cost:** actual or proposed expenditures that are reasonable, incurred solely to advance the work under the proposed project, and are within the limitations of the project terms and requirements.
- d. **Cost Realism Analysis:** (Reasonable)
 Cost realism analysis is the process of Implementing Partners independently reviewing and evaluating specific elements of each Applicant’s proposed cost estimate to determine whether the cost estimate is realistic for the work to be performed; reflects a clear understanding of the requirements, and is consistent with the applicant’s technical application. Cost Realism Analysis is conducted by evaluating the supportive data that form the basis of the individual elements of cost to determine the probable cost of the performance. The probable cost (described below) shall be used for purposes of evaluation to determine the best value. The probable cost is determined by adjusting each applicant’s proposed cost to reflect any additions or reductions in cost elements to realistic levels based on the results of the cost realism analysis.

3) *Shortlisting of Top Applications*

Caritas Lebanon will evaluate received applications based on the above criteria and shortlist applications that receive the highest scores and successfully pass the due diligence process for Phase 2 – Full proposals.

We hereby acknowledge that we have read, understand and fully agree to the above Selection Process and Evaluation Criteria.

Name of Applicant _____

Signature _____

Stamp _____

Date _____