



USAID

FROM THE AMERICAN PEOPLE

Issuance Date: February 15, 2011
Deadline for Receipt of Questions: February 23, 2011
Closing Date and Time for Submission of Applications: March 16 2011,
16:00 Budapest, Hungary local time

Subject: Request for Applications (RFA) Number: 167-11-004
"Community Action Initiative Project (CAIP) in Kosovo"

The United States Agency for International Development (USAID), through Regional Service Center, Regional Contracting Office in Budapest is seeking applications from qualified Non-Governmental Organizations (NGOs) for a cooperative agreement to fund a project entitled "Community Action Initiative". The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, and the Mandatory Standard Provision "Allowable Costs (DEC 2003) for public international organizations), may be paid under the cooperative agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish in indirect cost rate.

Subject to the availability of funds, USAID intends to provide approximate amounts of \$7,500,000 and €1,000,000 in total funding. The U.S Dollar amount will be funded from USAID appropriated funds, and the Euro amount will be funded from the Trust Account Agreement between USAID and the Government of Kosovo (for direct infrastructure projects and other cash for work activities), to be allocated over a three (3) year period. One award is anticipated as a result of this RFA. USAID reserves the right to fund any or none of the applications submitted, and will determine the resulting level of funding for the award.

Eligible organizations interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of project sought and the application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. This RFA consists of this cover letter plus the following Sections:

1. Section A - Instructions for Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Recipient
5. Section E – Annexes
6. Section F - Initial Environmental Examination (IEE)
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This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this RFA. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on www.grants.gov or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

It is the responsibility of the recipient of this RFA document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Any questions concerning this RFA should be submitted in writing to Mr. Clement J. Bucher, via email to cbucher@usaid.gov and Ms. Esztella Fazekas, via email to efazekas@usaid.gov. The deadline for submission of questions on this RFA is February 23, 2011. Responses to questions will be furnished to all potential applicants through an amendment to this RFA.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Sincerely,


Clement J. Bucher
Agreement Officer
RSC/RCO Budapest

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SECTION A – INSTRUCTIONS FOR APPLICATION FORMAT

1. PREPARATION AND SUBMISSION GUIDELINES

The federal grant process is web-enabled, allowing for applications to be submitted on-line. Instructions to submit applications electronically on-line in response to this RFA are found on Grants.gov in the “For Applicants” section – under “Apply For Grants”.

If your organization decides to submit an application, it must be received by the closing date and time indicated at the top of the cover letter. The applicant must provide all required information in its application, including the requirements found in any attachments to this RFA. Applicants should retain for their records one copy of all enclosures which accompany their applications.

If applicants shall choose to submit hard copies, the submission of one (1) original of the technical and cost application will be accepted no later than the closing date and time indicated on the cover letter, at the location designated below:

By Air Courier or Hand Delivery:

Ms. Esztella Fazekas

Acquisition and Assistance Specialist

Regional Services Center, Regional Contracting Office

Szabadsag ter 7-9, Bank Center, Granite Tower

1944 Budapest, HUNGARY

Tel. (+36) (1) 475 4986

The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified above, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages. Applications must be in English language.

To be eligible for award, the application should be prepared according to the structural format set forth below in **(2) Technical Application Format** and **(3) Cost/Business Application Format**. Applications which are received late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award only if the Agreement Officer determines it is in the Government’s interest.

USAID will consider only applications conforming to the format prescribed below. All applications received by the closing date and time indicated on the cover letter will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format.

Section B addresses the selection criteria and procedures for the applications. As part of the application, applicants shall acknowledge receipt of any amendments to this RFA by signing and returning the amendments with the application.

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 purposes should:

(a) 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. 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. The data subject to this restriction are contained in pages TBD"; and

(b) Mark each sheet of data it wishes to restrict 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."

2. TECHNICAL APPLICATION FORMAT

Technical applications must not exceed **25** pages, utilizing Times New Roman 12-font size, single spaced, typed in standard 8 ½"x11" paper size with one-inch margins both right and left, and each page numbered consecutively. Cover letter, dividers, table of contents, annexes (e.g performance monitoring and evaluation plan, personnel resumes, past performance information, certificates, forms, etc) will not count toward the page limitation. Any pages that exceed the page limitation will not be furnished to the Evaluation Committee. There is no page limit on attachments or cost application.

The technical application will have more significant importance than cost application in the selection of a successful applicant. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore it should be specific, complete and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria specified in Section B.

Application Contents: The technical application, at a minimum, shall contain the following:

A. Cover Page: A single page with the project title and RFA number, the names of the organizations/institutions involved, and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. If applicable, the **TIN** and **DUNS** numbers of the Applicant shall also be listed on the cover page.

B. Table of Contents: Listing all parts of the technical application, with page numbers and attachments.

Following are more detailed instructions on the technical application section:

C. Executive Summary (counts toward the page limitation and shall not exceed 2 pages): Briefly describe

- a) the proposed goals, ,
- b) the key activities and anticipated results, and

c) managerial resources of the Applicant, and how the overall project will be managed.

D. Technical Approach Section:

In this section, applicants are not to merely repeat what is already described in this RFA. Applicants should focus on describing how they propose to achieve the project objective(s) and how the project will make a significant contribution towards achieving the strategic objectives and areas for action identified in the project description. Applicants shall elaborate in their technical approach the most effective way to develop and realize the objectives of this project including the reasonable course of action and tasks that are relevant to the current needs of Kosovo. Applicants should present a convincing and compelling articulation of their technical approach.

At a minimum, the approach shall address the following:

- Discussion of the concrete expected results and how they will be achieved;
- Results and interventions applicants believe should be prioritized and why;
- Discussion on the coordination with other USAID activities, stakeholders and other donor activities. Applicants should provide specific examples on how to capitalize on possible synergies with other implementing partners, and therefore strengthen the impact of CAIP project.
- Discussion on how, community investment funds will be structured and utilized;
- Strategy for the phase-out and sustainability of project activities and impact;
- Substantive attention on how applicants will incorporate gender considerations and other cross-cutting themes under the USAID Mission Strategy into the implementation of the CAIP project;
- Implementation timelines schedule; and
- The proposed plan for effective rapid launch of activities.

As an annex to this section, applicants shall submit a draft Performance-Based and Monitoring Plan (P-BMP). The PBMP must explain how the applicant proposes to monitor the project performance and measure indicators and impact. The PBMP must include results, indicators, targets, consisting of data sources, frequency of data collection, collection methods, data verification, and responsible parties of data collection, baseline information, and benchmarks. The applicant must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated. It is the applicant's responsibility to ensure that all costs related to the implementation of the PBMP are included in the cost proposal.

E. Key Personnel Qualifications and Experience

Applicants shall propose key personnel to include a Chief of Party and other key senior Local Professionals

Chief of Party: The Chief of Party will be the primary point of contact with USAID/Kosovo with regard to day-to-day activity implementation and management matters relating to the Agreement. The Chief of Party must have overall responsibility for assuring that all assistance provided under the award is technically sound and appropriate for the needs to be addressed and for adequately managing and supervising the work of all staff in country.

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Applicants shall identify and clearly describe the professional qualifications, education and relevant experience of its proposed key Chief of Party. The COP should have at least 6 years of progressively relevant experience. Long-term overseas experience in similar project(s) as a proactive COP with a strong reputation for developing excellent collaborative working relationships with counterparts, international organizations and donors is strongly preferred. Prior work experience in the Balkans is highly desired. Proposed candidate should have a successful track record in supervising, designing managing, and implementing technical assistance for similar donor-funded projects.

Local Professionals: Applicants should propose sufficient qualified and experienced local professional staff to technically support project implementation and local office operations throughout the project. Applicants are encouraged to maximize the use of local staff wherever possible. Staff should have experience in Kosovo or similar regions with civil society and community development, conflict mitigation, and infrastructure and/or income generation programs. Some functions may be performed by local sub-partners as appropriate. For the small-scale infrastructure rehabilitation it is recommended that Applicants identify and engage local Kosovar experts with proven expertise and capacity to carry out infrastructure projects and conduct related environmental reviews.

Applicants should consider hiring a number of local staff from the Kosovo Serb community to facilitate interaction with targeted communities. Local staff should be fluent in Serbian and English, and additional fluency in Albanian is preferred.

Envisioned local staffing may include:

Project Managers/Community Liaisons with expertise in the following areas:

- Civil Society/Community Engagement
- Income Generation
- Workforce Development
- Small-scale infrastructure rehabilitation

Local Grants/ Finance Manager(s) with expertise in the following areas:

- Knowledge in contract and grants management policies and procedures
- Experience in grants design and management as well as oversight of subcontracting
- Relevant Kosovo-based development experience

This staffing plan is illustrative. Applicants may propose alternative staffing patterns with an explanation of how the proposed staffing approach will enhance the effectiveness of achieving the objectives stated in the Program Description.

As an annex to this section, applicants shall submit resumes for key personnel. The resumes must be no more than two pages each and should include at least three professional references with current telephone numbers or email addresses for each reference. Each résumé shall be accompanied by a SIGNED letter of commitment from each candidate indicating his/her (a) availability to serve in the stated position on a specific date and for a definitive term of service and (b) agreement to the compensation levels as set forth in the cost proposal. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is NOT requested and should NOT be submitted.

F. Management Approach:

This section shall address the following:

- a) Composition and organizational structure of the proposed project team and a description of each long-/short-term key or non-key team member's role, technical expertise, estimated amount of time to be devoted to the activity for each person,
- b) How the structure will ensure effectiveness and efficiency, in order to achieve maximum benefits and results at minimum cost,
- c) Proposed partners, their expertise, and their roles and responsibilities,
- d) Effective management systems and procedures for personnel, sub-contracts, commodities, training and information technology solutions;
- e) Demonstrated utilization of Kosovar professionals for country project staff; and
- f) Capability to mobilize long-/short-term technical assistance in areas that are within and those not included in the illustrative areas of technical assistance.

G. Experience and Past Performance:

This section shall address the following:

- a) Brief description of organizational history and experience.
- b) Examples of accomplishments in developing and implementing similar projects.
- c) Relevant experience with proposed approaches.
- d) Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas.

Describe any number of contracts, grants, and cooperative agreements which the organization, both the primary Applicant as well as an substantive sub-grantee, has implemented involving similar or related programs over the past three years. Please include the following information:

- a) Name, address, current telephone number and email address of responsible representative(s) from the organization for which the work was performed;
- b) Contract/grant name and number (if any), annual amount received for each of the last three years and beginning and end dates;
- c) Brief description of the project/assistance activity.

3. COST/BUSINESS APPLICATION FORMAT

The Cost/Business Application is to be submitted under separate cover from the technical application.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID prior to award. While there is no page limit for the cost application, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- A. Budget with an accompanying budget narrative which provides in detail the total costs for implementation of the project your organization is proposing. The **budget narrative** must provide detailed budget notes and supporting justification of all proposed budget line items. It must clearly identify the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. A

summary of the budget must be submitted using Standard Forms 424, 424A and 424B, that are available to download at: http://www.grants.gov/agencies/approved_standard_forms.jsp

Standard Form 424: www.grants.gov/techlib/SF424-V2.0.pdf ;

Standard Form 424A: <http://www.grants.gov/techlib/SF424A-V1.0.pdf>;

Standard Form 424B: <http://www.grants.gov/techlib/SF424B-V1.0.pdf>

The budget must include:

1. USAID will track all expenditures which will be made against the Euro Trust Account Agreement with GoK. Therefore detailed budget for Euro Trust Account has to be presented separately (in Euro) as the obligation will also be made in Euros.
2. The breakdown of all costs associated with the project according to costs of, headquarters, regional and/or country offices, if any;
3. The breakdown of all costs proposed by each partner organization involved in the project;
4. Potential contributions of non-USAID or private commercial donors to the expected Cooperative Agreement; if any
5. The name (if identified), annual salary, and expected level of effort of each candidate named and charged to the activity. **Provide annual salary history for at least the three most recent years for all identified and proposed long-/short-term key and non-key personnel;**
6. If not included in an indirect cost rate agreement negotiated with the U.S. Government, the applicable fringe benefit rates for each category of employees, and an explanation of the benefits included in the rate;
7. Breakdown of allowances by specific type and by person;
8. Travel, per diem and other transportation expenses detailed to include number of international trips, expected itineraries, number of per diem days and per diem rates;
9. All equipment proposed to be purchased; and
10. Financial plans for all proposed sub-grants and subcontracts, and they must have the same format and level of detail as those of the applicant.

B. A current Negotiated Indirect Cost Rate Agreement (NICRA);

Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant government agency shall submit the following information:

- Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- Cash flow and organizational chart; and

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- A copy of the organization's accounting manual.
- C. Required Certifications and Representations, included in *Section D* Certifications, Assurances and Other Statements;
- D. Details regarding the level of cost share your organization is proposing for this activity. Cost sharing may be proposed from any available and interested local and international funding sources, including but not limited to, government and public institutions, individuals, corporations, NGOs, and foundations.
- E. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
 1. Have adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g., EEO).
- F. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their policies and accounting manual.
- G. Certificate of Compliance: Submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA).

The following information should be taken into consideration when developing the budget:

- 1) Of the total USG funding approximate amount of \$7,500,000, no less than approximately 60% should be reserved for direct tangible small-scale infrastructure improvements, microenterprise/employment generation activities, as well as a small grants fund for other civic and community initiatives as identified by the communities. The GOK cost contribution (Euro Trust Account) should cover only infrastructure rehabilitation, including cash for work activities and related local personnel and operational cost. No indirect cost should be budgeted or charged to GOK cost contribution amount.
- 2) **Labor** - Direct salaries and wages for each year of the Agreement shall be in accordance with the organization's established personnel policies and the applicable cost principles. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, be subject to review and approval at a high enough organizational level to assure its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed for key and non-key personnel. Anticipated salary increases during the period of the Agreement should be included.

Additional Requirements for Personnel Compensation

a. Limitations

(1) Salaries and wages must be reflective of the “market value” for each position. Salaries and wages may not exceed the Applicant’s established policy and practice, including the Applicant’s established pay scale for equivalent classifications of employees, which shall be certified to by the Applicant. No individual salary or wage may exceed the employee’s current salary or wage, or the highest rate of annual salary or wage received during any full year of the immediately preceding three (3) years without the approval of the Agreement Officer. Salaries for locally employed staff should not exceed the Local Compensation Plan for USAID/Kosovo.

(2) Base pay, or base salary, is defined as the employee’s basic compensation (salary) for services rendered. Taxes which are a responsibility or liability of the employee are inclusive of, and not additive to, the base pay or salary. The base pay excludes benefit and allowances, bonuses, profit sharing arrangements, commission, consultant fees, extra or overtime payments, overseas differential or quarters, cost of living or dependent education allowances, etc.

(3) This USAID-funded project implemented under the anticipated Cooperative Agreement will be for an estimated period of performance of three (3) years; also referred to as the Award Period. Unless the Applicant/Recipient demonstrates otherwise to the USAID Agreement Officer’s satisfaction, Cooperating Country Nationals (CCNs) employed by the Applicant/Recipient solely to work under the USAID-funded project under this Agreement are considered by USAID as employed by the Applicant/Recipient for a specified period not to exceed the Agreement Period. This provision shall be interpreted in accordance with applicable cost standards including OMB Circular A-122 (Cost Principles for Non-Profit Organizations) and OMB Circular A-21 (Cost Principles for Educational Institutions), as applicable, including, but not limited to Selected Items of Cost - Compensation for Personal Services, and 22 CFR 226.

b. Annual Salary Increases

Annual salary increase and/or promotional increase may be granted in accordance with the Applicant’s established policies but up to the maximum of 5%. Salary increases may be granted after the employee’s completion of each twelve months of satisfactory services under the USAID award.

Fringe Benefits - If accounted for as a separate item of cost, fringe benefits should be based on the Applicant’s audited fringe benefit rate, supported by a Negotiated Indirect Cost Rate Agreement (NICRA) or historical cost data. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. health and life insurance, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. Fringe Benefits for local staff should be accounted in accordance with Kosovo labor law.

Supplies and Equipment - Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, unless the Applicant’s established policy establishes nonexpendable equipment anticipated to be required to implement the project, specifying quantities and unit cost.)

Allowances, if any, must be broken down by specific type and by person and must be in accordance with the Applicant's established policies.

Travel and Per Diem - The narrative should indicate the purpose of trip(s), number of trips, domestic and international, and the estimated unit cost of each. Specify the origin and destination for each proposed trip, duration of travel and number of individuals traveling. Proposed per diem rates must be in accordance with the Applicant's established policies and practices that are uniformly applied to federally financed and other activities of the Applicant.

Other Direct Costs (ODC) - could include costs such as communications, office rental, utilities, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the Applicant's normal coverage), other filed office operation costs, etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

Proposed (Sub) contracts/agreements - Applicants who intend to utilize subcontractors or sub recipients should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the Applicant. Extensive (sub) contract/agreement financial plans should follow the same cost format as submitted by the Applicant.

An award shall be made only when the Agreement Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For the organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey. The cost/business applications of all applicants submitting a technically acceptable application will be evaluated for general reasonableness, cost realism, allowability and allocability.

4. COOPERATIVE AGREEMENT AWARD

The Government may award a cooperative agreement resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The Government may award a cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered. Applicants are specifically advised that until an executed document is received and duly signed by an Agreement Officer, no project expenditures will be paid by USAID/Kosovo.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

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- (a) Section B - Selection Criteria;
- (b) Section A – Instructions for Application Format;
- (c) Section C - The Program Description;
- (d) Cover Letter.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under the cooperative agreement.

Foreign Government Delegations to International Conferences: Funds in the cooperative agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences <http://www.info.usaid.gov/pubs/ads/300/refindx3.htm> or as approved by the Agreement Officer.

5. AUTHORITY TO OBLIGATE THE GOVERNMENT

The USAID 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.

(END OF SECTION A)

SECTION B - SELECTION CRITERIA

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Applicants shall organize the narrative sections of their technical applications in the same order as the selection criteria. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

If award is not made on the initial applications, USAID may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicants with whom discussions are being held.

I. TECHNICAL EVALUTAION CRITERIA

A technical evaluation committee, using the criteria shown in this Section, will score technical Applications. The criteria set forth will serve as the basis for evaluating the technical Applications. The various functional elements of the technical criteria are assigned weighted scores, so that the Applicants will know which areas require emphasis in the preparation of Applications. Where technical Applications are considered essentially equal, cost may be determining factor. Applicants should note that these criteria:

- (1) Serve as the standard against which all Applications will be evaluated; and
- (2) Serve to identify the significant matters which Applicants should address in their Applications.

The relative importance of each criterion is indicated by the number of points assigned; a total of 100 points is possible.

Technical Evaluation Criteria	Weight
Technical Approach	40 points
Key Personnel Qualification and Experience	40 points
Management Approach	10 points
Experience and Past Performance	10 points
Total Possible Technical Evaluation Points	100

a) Technical Approach (40 points)

1. Extent to which the proposed technical approach including description of activities, tangible results and benchmarks is innovative, creative, clear, logical, well-conceived, technically sound, reflects an appreciation for the likely problems to be encountered, identifies and addresses the objectives for each proposed activity identified in the Program Description. The extent to which proposed activities are likely to impact anticipated results. **(20 points)**
2. Thoughtfulness of approach to building local capacity to conduct activities beyond the duration of USG-USAID support. **(5 points)**

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3. The extent to which cross-cutting issues including gender and minority issues are identified and addressed within the approach. **(5 points)**
4. The extent to which the required Performance-Based Monitoring Plan presents the results to be achieved, with associated indicators and targets, as well as data collection and analysis approach, consisting of data sources, frequency of data collection, data verification, compliance with data quality standards, and responsible parties for data collection. **(10 points)**

b) Key Personnel Qualifications and Experience (40 points)

1. Demonstrated capability, experience, education and qualifications of proposed Chief of Party. **(20 points)**
2. Demonstrated capability, experience, education and qualifications of other key personnel. **(20 points)**

c) Management Approach (10 points)

The extent to which composition and organizational structure of project team, including sub-recipient/sub-contractors, and their roles and expertise is innovative and technically sound. In addition to the demonstrated utilization of local expertise and organizations involved in program design and implementation.

d) Experience and Past Performance (10 points)

1. The Applicant's technical and managerial resources and expertise in program management, grants management and training and its experience in managing similar programs in the past. **(5 points)**
2. Past performance of the primary Applicant and sub-recipient(s) in implementing similar or related programs over the past three years. **(5 points)**

II. COST EVALUATION

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allowability, allocability, and cost effectiveness. The pre-award evaluation of cost effectiveness will include an examination of the application's budget detail to ensure it is a realistic financial expression of the proposed project and does not contain estimated costs which may be unallocable, unreasonable or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered.

Applications that maximize direct activity costs including cost sharing and that minimize administrative costs will be favorably considered. Other considerations are the completeness of the application adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured by a responsibility determination.

Notes on Cost Sharing:

- a. Cost share is defined by USAID as "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please take note of the provision on cost-sharing in 22 CFR 226.23.

- b. Cost sharing is desirable but not required under this RFA. USAID policy is that cost sharing is an important element of the USAID-Recipient relationship.

III. BEST VALUE DECISION

Award will be made to the Applicant whose application offers the best value to the Government. Best value is defined as the expected outcome of a procurement that, in the Government's estimation, provides the greatest overall benefit in response to the requirement.

For this RFA, technical proposal merits are considered significantly more important than cost relative to deciding which Applicant best might perform the work. Cost realism, effectiveness and reasonableness will be the determining factors in the event that the applications receiving the highest ratings are closely ranked. Therefore, after the final evaluation of the application, the Agreement Officer will make the award to the Applicant whose application offers the best value to the Government considering both technical and cost factors.

Other areas of review and discussion will vary according to the circumstances pertaining to the application; however, the following is common area that requires discussion and agreement prior to award:

IV. Branding Strategy and Marking Plan.

It is a federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended and 22 CFR 226.91) that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID identity. In accordance with ADS 320.3.3 Branding and Marking Requirements for Assistance Awards USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.”

successful applicant will be required to submit a branding strategy and marking plan. The Applicant may request a presumptive exemption to marking requirements established in 22 CFR 226.91. More information on Branding strategy and Marking plan are available at <http://www.usaid.gov/branding/assistance.html>.

The branding strategy and marking plan will become material element of the cooperative agreement. Information on USAID's branding “assistance” applies to this RFA. ADS Chapter 320 sections ADS concerning “acquisition” do not apply to this RFA. ADS Chapter 320 can be found on USAID website: <http://www.usaid.gov/policy/ads/300/320.pdf>.

(END OF SECTION B)

SECTION C – PROGRAM DESCRIPTION

I. PROJECT PURPOSE

The overall goal of Community Action Initiative Project (CAIP) is to increase confidence among non-majority communities and create an environment conducive to full participation in Kosovo. The Project strengthens the capacity to effectively address community priorities and promote changes that improve the quality of life and livelihood opportunities of local residents.

The objectives of CAIP are:

Objective 1: Establish community organizations and institute effective models of local participation

Objective 2: Strengthen regional and national linkages within non-majority communities, and between non-majority and majority communities

Objective 3: Improve the quality of life and economic development opportunities in non-majority areas

CAIP requires a multi-sectoral approach at the community level that responds to targeted communities' articulated dissatisfaction and needs. The implementer's range of assistance to targeted communities will be determined through inclusive community-based consultative processes that need to be mutually reinforcing, and should address long-standing issues at the community level. This project must respond quickly, appropriately, inclusively, and flexibly to meet the needs of the communities it engages. Impact should be visible and tangible and communities should feel ownership of the activities being implemented. The specific project objectives are further elaborated in Section III Description of Activities.

II. BACKGROUND

Two years after the declaration of independence in February 2008, Kosovo has made significant progress in implementing the principles of the UN Envoy Marti Ahtisaari's Comprehensive Proposal for the Status Settlement. These principles are now an integral part of the Kosovo Constitution that came into force on June 15, 2008, and includes guarantees for minority rights and representation in key public institutions, municipal self-government as part of decentralization, and the protection of religious and cultural sites.

Since November 2009, the success of the process of decentralization has been significant. The Kosovo Serb-minority municipalities south of the Iber/Ibar River now enjoy a considerable degree of legitimacy¹ from their citizens through local elections and are now well in the process of consolidation. The success in south does not apply to Kosovo Serb municipalities north of the Iber/Ibar river. Despite the fact that a Municipal Preparation Team (MPT) was established for the new municipality of Mitrovica North, this and the three municipalities of Leposavic/Leposaviq, Zubin Potok and Zvecan, remain held up in a state of financial and psychological reliance on illegal parallel institutions supported by the Government of Serbia.

The sentiments of the Kosovo Serb population have been in a state of change, especially during 2010, with more and more communities identifying essential needs as a paramount problem over political dynamics,

¹ The Kosovo Serb participation during November 2009 municipal election was ten times higher than during the central elections held November 2007, see: http://www.kipred.net/web/upload/Decentralization_in_Kosovo_I.pdf

despite the fluctuations on perceptions about inter-ethnic relations influenced mostly by daily political developments. The latest UNDP Early Warning Report² released in June 2010 notes a shift in opinion among Kosovo Serbs where almost half of Kosovo Serbs (48%) consider unemployment and poverty as a circumstance that threatens the stability of Kosovo while 20% considered this to be further aggravation of interethnic relations. This is in comparison to the similar poll conducted in January 2010 where 38% of Kosovo Serbs reported further aggravation of interethnic relations as key circumstance that threatens the stability of Kosovo.

The July 2010 ruling of the International Court of Justice (ICJ)³ in favor of the legality of the declaration of independence, and the September 9, 2010 UN General Assembly adopted resolution⁴ calling for direct talks between Kosovo and Serbia, has brought about a new momentum to begin to open the democratization processes in municipalities north of the Iber/Ibar River. Establishing the rule of law and diminishing the role of illegal parallel governance structures is one of the highest priorities of the Government of Kosovo (GOK) and its international supporters. All parties recognize that this process cannot and will not occur except by the acceptance of the Kosovo Serb population and with steady international support.

In August 2010 the Government of Kosovo (GOK) announced that it is allocating € 5.0 million for development projects in the municipalities in northern Kosovo. However, given the limited access and receptiveness of the northern municipalities to receive funding/assistance from the GOK, the GOK offered a partnership to USAID to implement projects for northern communities using these funds from the budget. This project will be partially funded with some of these funds.

A. The context of minority civic and private sector engagement

The civil society sector among minorities, especially in northern Kosovo, is underdeveloped. With the exception of a few more established organizations based in larger urban centers such as Mitrovica/Mitrovice and Gračanica/Gračanice, the sector mainly consists of small NGOs that work around the margins of the social reality or on issues and matters that are considered as “non-political.” Many civil society organizations are not equipped to fulfill the increasing and strict criteria of the donor community.

According to the Kosovo NGO Registration Office, there are over 5,000 registered NGOs in Kosovo, of which some 400 are Kosovo Serb NGOs. Of these, it is believed that only 60-70 NGOs are actually active or partially active, and then only if there is support available. USAID has supported the establishment of a Kosovo Policy Action Network (KPAN) which brings together around 60 minority representatives from civil society, media, and community leaders for action on policy change. KPAN has since launched various advocacy actions and begun to increase its public visibility.

Similarly, in the private sector realm, minority representation in the business sector is underdeveloped and businesses do not have much space to expand in the confined markets of Kosovo Serb areas. Majority of small businesses are not registered with the Kosovo Government, but most hold their UNMIK registration certificates. A recent survey under USAID’s Initiating Positive Change Program⁵ (IPCP) indicates a higher than expected willingness among northern businesses to register and engage in trade with the South with proper incentives.

² See UNDP Early Warning Reports <http://www.ks.undp.org/?cid=2,4>

³ See <http://www.icj-cij.org/docket/files/141/16012.pdf>

⁴ See <http://www.un.org/News/Press/docs/2010/ga10980.doc.htm>

⁵ USAID/IPCP is a community mobilization and development activity that aims to help minority communities improve quality of life, create economic opportunities, address security challenges, and develop links with local and national institutions. IPCP is primarily focused in minority areas south of Ibar River. (see <http://www.usaid-ipcp.org>)

Of the 66 businesses surveyed, more than half had UNMIK registration and about a quarter were registered with GoK. The strongest incentives to register are to qualify for loans and receive donor funds, and many of the unregistered businesses say they would like help in the registration process.

B. Specific demographic context in northern Kosovo⁶

Leposavić/Leposaviq is a municipality in the District of Mitrovica of northern Kosovo. According to OSCE and UNHCR estimates, the municipality has a population of approximately 18,600 (2007). The municipality consists of a town and 72 villages with an area of 750 km². Kosovo Serbs constitute the majority (18,000), while small numbers of other communities are also present. Approximately 200 Kosovo Albanians live in the three southern villages. There are also 240 Bosniaks, Romas, Ashkalis, and Egyptians.

Zvečan/Zveçan is a town and municipality in the District of Mitrovica of northern Kosovo. The municipality covers an area of 104 km² (40 sq mi), and consists of 35 villages. As of 2008, the municipality has a population of approximately 17,000, of which 16,050 (94 %) are Kosovo Serbs, some 350 Albanians mainly concentrated in three villages. About 4,000 Kosovo Serbs located in the municipality are internally displaced persons (IDPs) as well as 250 refugees from Croatia.

Zubin Potok municipality is the westernmost of the three northern municipalities with a Kosovo Serb majority. It consists of a town and 64 villages with a total area of 335 km². An artificial lake, Gazivode, stretches through the municipality extending across to Novi Pazar and Montenegro. The population is estimated at 14,900 with a vast Kosovo Serb majority, 2800 of whom are displaced persons and 220 are refugees from Croatia living in private accommodation and collective centers. Approximately 800 Kosovo Albanians live in one village.

C. Link to USAID/Kosovo Strategy

The full participation of minorities is considered a key cross-cutting factor of the USAID/Kosovo Strategic Plan 2010-2014. It targets minorities' integration across the portfolio, with specific activities under AO 3: "Empowering Kosovo's Citizens to Consolidate a Functioning Democracy" that contains the following IRs:

AO 3: Empowering Kosovo's Citizens to Consolidate a Functioning Democracy

IR 3.1: More Effective Governance at the National and Municipal Levels;

IR 3.2: Improved Delivery of Justice through Rule of Law;

IR 3.3: Strengthened Mechanisms for Citizens to Represent their Interests and Hold the Government Accountable;

IR 3.4: Increased Integration and Participation of Minorities.

CAIP will directly contribute to the following IRs:

IR 3.4: Increased Integration and Participation of Minorities.

3.4.1: Improved Livelihoods of Minorities

3.4.2: Increased Confidence in a Viable Future in Kosovo among Minorities

⁶ Summarized information from OSCE Municipal Profiles, <http://www.osce.org/kosovo/13982.html>

III. IMPLEMENTATION PHASES

The project will be implemented for a base period of three years in two phases.

Phase 1: Will include a limited geographic focus of project activities in Zvecan, Leposavic/Leposaviq and Zubin Potok municipalities with only civic and small-business support in Mitrovica North. This phase will take place in Year 1 of the project implementation. At the startup of this phase, the Recipient is expected to establish a field office in northern Kosovo, accessible from all municipalities to be used as a USAID Regional Community Resource Centre (RCRC) managed by the recipient with conference facilities to support all of the USAID projects.

Phase 2: Will involve a possible amplification of activities in northern Kosovo and expansion to other minority geographic areas south of Iber/Ibar River building on lessons learned from the USAID Initiating Positive Change Program (USAID/IPC) that will end in September 2011. This phase will take place during Year 2 and Year 3 of the project implementation.

V. DESCRIPTION OF ACTIVITIES

CAIP will initially focus on municipalities with no formal GOK representation north of the Iber/Ibar River. This would entail a geographic focus mainly in Zvecan, Leposavic/Leposaviq and Zubin Potok municipalities and small-business support in Mitrovica North. CAIP will be building on lessons learned from the IPCP, which is mainly active in the south of Kosovo and will end in September 2011.

Activities should be grouped under the following project-level objectives:

Objective 1: Establish community based organizations and institute effective models of local participation

The prevailing problem facing minority communities in northern Kosovo is the lack of opportunities to affect change. Faced with continuous political tensions that concern higher political agenda, a state of financial and psychological reliance on Serbia, corrupt local parallel authorities and active organized crime, prospects for effective influence that concern their daily lives seem weak. At the same time, a subtle shift seems to be taking place; with Belgrade's financial support decreasing, Kosovo Serb residents are increasingly preoccupied with local issues, rather than high politics. The fact that even hard-liners speak to the importance of quality of life issues shows how these are the issues that resonate with local residents.

Quality of life and economic development are the principal drivers for the agendas of most minority communities, especially those living in the north of Kosovo. The prospective implementer should initiate a process which will build organizational capacity and enable community members to drive interventions and carry out community-driven activities while putting development vision, success, and ownership into their hands. The implementer must demonstrate an understanding of a broad array of proven and innovative community development tools and approaches to establish community forums at the village and municipal level while ensuring that the community-driven process and inclusiveness remains dominant.

CAIP should also target greater interaction with members of other communities, including other ethnic communities, which may have similar needs and interests – such as planning of simple community mobilization events.

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Possible community based organizations (CBO) capacity-building activities that can be undertaken in support of this component include:

- Organization of town hall meetings at the village level to understand community dynamics, needs, and priorities in targeted municipalities.
- Facilitation of election processes to establish forums at the village and municipal level comprised of representatives that will assume the leadership in planning and carrying out improvements in the community.
- Training and leadership capacity building for the forum members.
- Facilitation in planning and prioritization processes and assignment of specific responsibilities for the forum members.
- Support learning by doing initiatives and pragmatic problem solving at the community level.
- Facilitation of consultative processes and promotion of transparency between forum representatives and the community.

Expected outcomes/results:

- Principles of consultative decision making and grassroots election processes instituted.
- Increased organizational capacity and leadership skills of community group members.
- Increased confidence of communities in their elected community leaders.
- At least ten village-level and one municipal forum formed per municipality.

Objective 2: Strengthen regional and national linkages within non-majority communities, and between non-majority and majority communities

The Kosovo Serbs subsist in two realities - disengagement in the north of Kosovo and increasing participation in the south of Kosovo. The implementer should concentrate on building linkages and networking capacity among minority Civil Society Organizations (CSOs), CBOs and business organizations throughout Kosovo. This would entail networking and coalition capacity-building activities at the regional and Kosovo-wide level that will strengthen linkages among Kosovo Serbs throughout Kosovo, and reduce their isolation from Kosovo society and institutions.

Possible activities that can be undertaken in support of this objective include:

- Engage existing civil society networks such as the Kosovo Policy Action Network (KPAN) in reaching out to communities and core civil society leaders, and discussing community needs and ongoing community-based efforts that address those needs under the auspices of the project.
- Within 45 days of project initiation, establish a Regional Community Resource Center to serve as an intermediary support institution and a centralized information point to inform CSOs and CBOs about the programs and services offered through the Project, and other USAID assistance programs active in Kosovo.
- Support cross-Iber/Ibar River communication efforts with the focus on the betterment of daily life and participation.
- Facilitate trade fairs and Business to Business (B2B) events.
- Facilitate professional business meetings targeting specific sectors.

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Expected outcomes/results:

- The Regional Community Resource Center is a focal point of sustainable citizen-led development activities.
- Regional bodies/networks of CBO community forums constituted.
- Increased regional and Kosovo wide networking and trade linkages between businesses and business organizations.
- Increased investment in non-majority populated areas, including north, from within Kosovo.
- Strengthened linkages between non-majority CSOs north and south of Iber/Ibar River.

Objective 3: Improve the quality of life and economic development opportunities in non-majority areas

The project must quickly demonstrate visible impact in order to build relationships and trust with community leaders and the communities in the north and build to on the results of IPCP. The CAIP assistance would include tangible support in the form of rehabilitation/refurbishment of basic infrastructure, strengthened service provision, support to local businesses and grants for community initiatives. The implementer should partner with local groups and organizations and place them at the forefront of implementation. The goal of this component is to empower and support the emerging grassroots level leadership to address priority community needs for economic development and better quality of life.

Possible activities and funding approaches that can be undertaken in support of this objective might include:

- A local flexible community-driven investment fund established to provide quick financial or material support to local initiatives.
- Grants to local private-sector-led tangible improvement initiatives that create short- or medium-term economic opportunities, and employment in sectors and have a visible impact on the majority of the community. Support for community or civil society-led labor-intensive activities that provide cash for work and address priorities identified by the community.

Expected outcomes/results:

- A minimum of 60 small rehabilitations/refurbishments of basic infrastructure and/or income generation investment projects launched in Phase 1 and Phase 2 of the project to improve the overall well-being of local communities.
- Increased availability of short- or medium-term employment and income generation opportunities.

VI. CROSS-CUTTING PROGRAM PRINCIPLES

The following cross-cutting themes should be integrated across the project components to ensure the achievement of CAIP objectives. Applicant should propose indicators to measure progress against these themes. Applicant may propose additional cross-cutting themes if they enhance the implementation and effectiveness of the proposed technical approach.

A. Confidence-Building & Anti-Corruption: Given the northern political context, there is a lack of trust among Kosovo Serbs in any actors trying to work in their communities. NGOs are seen either as tools of the international community or as organizations benefiting a select number of friends and family of staff. They were also cited as having failed to follow through on their promises over the last ten years. Parallel municipal officials are not seen as true representatives of Kosovo Serb interests, and are viewed as corrupt.

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The Serbian Orthodox Church is the only society actor that appears to have a broad-based constituency and a good degree of trust from the Kosovo Serb community.

Kosovo Serbs will need to have trust in the organizations and Kosovo Serb individuals that claim to serve and represent them if they are to come to see themselves as citizens of Kosovo. Building this trust will be the effort of many years and many actors, but that process needs to start as soon as possible, and is viewed by USAID as a critical outcome of this project. Applicant should propose concrete and feasible approaches to improving trust and building confidence by the Kosovo Serb community in the institutions and people engaged in the project. Approaches should cover the following areas, as well as any the Applicant sees as critical to implementing their technical approach:

- *Anti-Corruption*: Applicant should build in strong mechanisms for anti-corruption, including reporting procedures, community and/or media oversight, and transparency in financial reporting, in their own operations and those of their partners and grantees.
- *Performance Monitoring & Evaluation (M&E)*: Performance Monitoring and Evaluation is viewed as a critical component of this project to help build confidence by the Kosovo Serb community in civil society organizations. Applicant should propose ways to monitor how project finances are used by grantees, to ensure that communities receive full accounting for how decisions are made on the use of funds, and to guarantee that funds are used for their stated purpose. Project impact should be evaluated on a regular basis with input from participants, beneficiaries, and other community members.

- B. Networking and Partnership in Kosovo Minority Communities:** Applicant should capitalize on opportunities for networking and partnership within minority communities to help decrease isolation and to improve the ability of minorities to address the challenges their communities face. Networking should not be pursued as an end in and of itself, but rather as a means of making progress towards project goals.
- C. Minority/Majority Civil Society Partnership:** Similarly, Applicant could propose ways to capitalize on opportunities for networking with Kosovo Albanian and other community civil society organizations if it will help project participants achieve progress on their priority issues. Such partnerships should not be forced or required, but where these may naturally occur and fit, a linkage could be developed.
- D. Youth:** Youth in Kosovo in general are in need of better education and improved skills to deal with economic and social pressures, and to be able to take a proactive stance in addressing the obstacles to their education, skill development and social involvement. Young people can also be a powerful force for change in their communities, bringing energy and optimism to efforts that effect change in their world. This project should look for opportunities to engage minority youth as partners and beneficiaries.
- E. Gender:** Kosovo, including the majority and minority communities, is dominated by a patriarchal culture in which women have traditionally been marginalized and suffered discrimination. To the extent possible, Applicant should seek to engage women equally in project activities as partners and beneficiaries.
- F. Microenterprises:** All assistance to micro-enterprises under CAIP will be delivered in conformity with ADS 219, e.g. programs being open to women, annual reporting requirements, and commitment to attain financial sustainability. Implementer will be required to adhere to these requirements.
- G. Rehabilitation/Refurbishment of Basic Infrastructure:** As a tangible result of community driven actions CAIP is expected to implement refurbishment and/or rehabilitation of basic infrastructure. Should a later

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determination be made to engage in more significant capital assistance, a Foreign Assistance Act (FAA) 611(e) certification shall be completed.

H. Security Considerations: There are security concerns in the areas where the CAIP will be implemented. A hostile operating environment, with occasional violent incidents, may make it difficult to undertake targeted, dedicated and consistent programming. The prospective implementer is recommended to include a realistic approach for dealing with security issues and to budget for associated costs.

VII. RELATIONSHIP OF ACTIVITY TO GOK, OTHER USAID AND DONOR ACTIVITIES

A. Government of Kosovo (GOK):

On August 27, 2010, the Government of Kosovo announced the allocation of 13 million Euros for investments in the non-majority municipalities, of which 5 million Euros was allocated for the municipalities in northern Kosovo. In its decision, the Government of Kosovo expressed its intention to use the allocation of 5 million Euros to complement USAID assistance to north Kosovo, with the goal of improving living conditions for all the citizens of these municipalities.

On October 12, 2010, the GOK and USAID concluded a Memorandum of Understanding (MoU) outlining conditions of the transfer of funds, which was amended on November 11, 2010. In general terms, GOK funds will be used for infrastructure and cash-for-work programs and will directly contribute to improving of the quality of life and creation of new jobs throughout northern Municipalities. The Community Action Initiative (CAIP) project is considered one of the recipients of the GOK cost contribution and will identify a set of programming options that correspond to the GOK fund objectives.

B. U.S. Government programs:

USAID/Kosovo programs:

Decentralized Effective Municipalities Initiative (DEMI): DEMI will operate from 2010-2013 and target: improved municipal service delivery; strengthened municipal administrations; empowered municipal assemblies; local economic development; and support to civil society. DEMI is expected to operate in all municipalities that wish to participate.

New Opportunities for Agriculture (NOA): USAID is in the process of initiating a new activity focused on agriculture as an agent of growth in Kosovo. Given the focus of this activity in rural areas, close cooperation with it will be essential for CAIP.

Support for Kosovo's Young Leaders (SKYL): SKYL aims to help young people from Kosovo's diverse communities become active participants in building a viable shared future for themselves and their communities. SKYL helps young people gain the skills, experience and support needed to find employment; play a leadership role in the community; and build inter-ethnic reconciliation.

Strengthening Independent Minority Media Program (SIMM): SIMM seeks to continue strengthening Kosovo minority media by building capacity of broadcast TV and radio stations and countering their isolation through content sharing systems. Results will include the continuous development of an internet-based file sharing system to exchange audio/video content. Technical assistance will build skills in journalism, program production, and media management skills.

Kosovo Private Enterprise Program (KPEP): aims to stimulate the private sector competitiveness of Kosovo's economy. The goal of KPEP is to promote improved quality and efficiency of locally produced goods and services, expand employment for all of Kosovo's citizens including youth and minorities, reduce Kosovo's trade imbalance, and further Kosovo's integration into the Balkans and beyond.

Youth Employment and Participation Program (YEP): YEP targets selected labor market areas and connects youth, ages 15-24, with market-relevant life and work readiness training and support, hands-on training opportunities, entrepreneurship training, civic participation and links into the employment and self-employment job market. The selected labor market areas will include as many as ten municipalities over the five-year life of the project.

Medium-scale support in refurbishment/rehabilitation of basic infrastructure in northern Municipalities: In addition to the project listed above, the implementer will closely coordinate with other USAID partners that are expected to be engaged in implementing GOK financed projects in northern municipalities.

Public Affairs Office (PAO): PAO has the lead in coordinating USG support for the arts and culture, international visitors, and other educational activities that are targeted toward at the north. The Recipient will need to coordinate with the U.S. Embassy PAO and the American Corner in Mitrovica North.

It is essential that the Recipient collaborate closely with these programs at the municipal and central level. Coordination and collaboration with the programs listed above will be a key measure of success for CAIP.

Other Donor Programs: The European Community Liaison office through its past Community Assistance for Reconstruction, Development and Stabilization (CARDS), and current Instrument for Pre-Accession Assistance (IPA) Programs is funding a set of medium to large scale infrastructure improvements in Leposavic/Leposaviq, Mitrovica and Zubin Potok, totaling approximately 3 million euro. In addition, ECLO initiated a stand-alone 1.9 million Euro "EU - Community Stabilisation Programme (EU-CSP)" with the International Organisation for Migration (IOM) to support the improvement of the socio-economic situation of minorities, strengthen communities and promote return Kosovo-wide, part of which will be implemented in northern Kosovo.

The Government of Netherlands largely supports youth and educational activities targeting minority youth business start-up centers and the University of Mitrovica North, but also funds two ongoing projects totaling 1.5 million Euro that employ a mix of community based reconciliation and small scale socio-economic and infrastructure improvement activities. These projects are implemented by the local organizations 'Partners/Fraktal' and 'Community Building Mitrovica', and are scheduled to end in 2011. There are also a number of other smaller bilateral donors that are active north of Kosovo and implement small scale and limited scope assistance projects.

It is essential that the Recipient fully understand what these programs are doing and cooperate with them, build on any complementarities, and avoid duplication.

VIII. ENVIRONMENTAL CONSIDERATION

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204

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(<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this solicitation.

In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO).

USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the solicitation should therefore include as part of their proposal their approach to achieving environmental compliance and management, to include:

- The respondent's approach to developing and implementing an environmental review process for a grant fund.
- The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
- The respondent's illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicant should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. [*Offeror/respondent/contractor/recipient*] environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this [*RFP/RFA/contract/grant/cooperative agreement*].

1b) In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID . In case of conflict between host country and USAID regulations, the latter shall govern .

1c) No activity funded under this [*contract/grant/CA*] will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

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2) The Initial Environmental Examination (IEE) for CAIP (DCN: 2011-KOS-005) was approved by the USAID/E&E Bureau Environmental Officer (BEO). A categorical exclusion applies to the technical assistance and training components of the program. Components such as targeted small scale rehabilitation or refurbishment of basic infrastructure and micro-enterprise assistance are categorized as negative determination with conditions. The IEE is available as an attachment to this solicitation for all Applicants, and the requirements stipulated in the IEE will be applicable to the implementing partner.

3) Reserved.

4a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the [*contractor/recipient*], in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this [*contract/grant/CA*] to determine if they are within the scope of the approved Regulation 216 environmental documentation.

4b) If the [*contractor/recipient*] plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the [*contractor/recipient*] shall prepare an EMMP or M&M Plan describing how the [*contractor/recipient*] will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

5b) Integrate a completed EMMP or M&M Plan into the initial work plan.

5c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

6) Reserved.

7) Reserved

8a) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the [*RFA/RFP*] should therefore include as part of their [*application/proposal*] their approach to achieving **environmental compliance and management**, to include:

8b) The respondent's approach to developing and implementing an [*IEE or EA or environmental review process for a grant fund and/or an EMMP or M&M Plan*].

8c) The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.

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8d) The respondent's illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, [*offerors/applicants*] should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

IX. PERFORMANCE MONITORING

USAID/Kosovo has developed a set of performance indicators that collectively contribute to the IR 3.4: Increased Integration and Participation of Minorities part of which include:

- Number of joint community projects
- Number of full-time and full time equivalent (FTE) jobs created as a result of USAID assistance

In addition to the indicators proposed by the implementer, a list of mandatory Foreign Assistance Framework Standard Indicators will be utilized to monitor performance of the project components. (<http://www.state.gov/documents/organization/101762.pdf>).

Program Area: 1.6 Conflict Mitigation and Reconciliation

Program Element: 1.6.1 Conflict Mitigation

- Number of non-governmental constituencies built or strengthened with USG assistance
- Number of people attending USG-assisted facilitated events that are geared toward strengthening understanding and mitigating conflict between groups
- Number of people from 'at-risk' groups reached through USG-supported conflict mitigation activities
- Number of people trained in conflict mitigation/resolution skills with USG assistance
- Number of USG-assisted facilitated events geared toward strengthening understanding and mitigating conflict between groups
- Number of USG-supported activities that demonstrate the positive impact of a peace process through the demonstration of tangible, practical benefits

A final list of indicators will be confirmed in collaboration with USAID after the award.

Reporting requirements:

Annual Work plans: Within 30 days from the commencement date of this Agreement, the Recipient shall prepare and submit for approval by USAID AOTR annual work plan, which will include all activities to be managed and implemented by the Recipient. Annual work plan will clearly indicate specific tasks and individual responsibilities for task completion. Workplans will serve as a reference point for quarterly and annual progress reports and will permit monitoring of the award performance and costs.

The annual work plan will establish the timeline for objectives that indicate progress towards the tasks that need to be performed to achieve objectives. It will specify activities on a critical path and show critical performance benchmarks for the responsible parties. It will also be one of the progress performance monitoring tools for USAID.

As a part of the annual work plan, the Recipient shall update the Performance Based Monitoring Plan (PBMP) that allows for documenting implementation progress against specified performance indicators and related targets and benchmarks. Performance monitoring is critical to the CAIP program and broader policy and program learning in Kosovo. Recipient should propose a robust monitoring and evaluation framework that will

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allow for monitoring of progress in meeting the project goals and objectives. This conceptual framework should integrate inputs, activities, outputs, outcomes, and impact under the CAIP. Recipient shall establish realistic expectations for what the project can produce in its various phases of implementation. Recipient shall establish base line data sets that will be important for project monitoring and final evaluation.

The work plans due 30 days before the beginning of the subsequent project implementation years, will include detailed budgets with a pipeline analysis of costs incurred and projections of costs for the life of award implementation plan for achieving project outputs.

Quarterly Performance Progress Reports: The Recipient shall submit Quarterly Performance Progress Reports within 30 days following the end of the reporting period, and shall briefly present the information contained in 22 CFR 226.51(d),

These reports will include progress toward planned achievement of milestones, the implementation and collaboration plan, PBMP data reporting and success stories (highlighting the people-level and institutional-level impact of project activities, accompanied by photographs of the activities described) as well as provide progress toward standard indicators for Operational Plan (OP), USAID Performance Management Plan (PMP) and other USAID reporting purposes. This report will also include explanation of problems, delays, or adverse conditions and actions taken or contemplated to resolve the situation, or any assistance needed to resolve the situation. The 4th quarter progress report will be incorporated in the Annual Performance Progress Report.

Annual Performance Progress Report: The Recipient shall submit an Annual Performance Progress Report on annual basis to to the USAID Agreement Officer and AOTR. The recipient is encouraged to consult with the USAID AOTR in finalizing the Annual Performance Progress Report. The report should summarize the information contained in the quarterly progress reports with greater detail provided for the 4th quarter.

Midterm Evaluation Report: USAID will fund and conduct an external mid-term evaluation, which will be conducted in year two of the project. The outcome of the evaluation should be included in the year two work plan. Recommendations and analyses will be used to inform on-going implementation of the project.

Reporting on GOK Trust Fund

Reporting on GOK Trust Fund shall be incorporated into the Quarterly Performance Progress Reports, Annual Performance Progress Report and into the Midterm Evaluation Report, as a separate Annex entitled: Assistance to north. USAID may, however, require more frequent reporting on Trust Fund Activities if it is deemed necessary.

Final Report: The Recipient is required to submit final report will be submitted within 90 calendar days after the estimated completion date of the Award. The Recipient shall submit one copy of a Final Report to the USAID AOTR and one copy to the Agreement Officer. In addition, one copy shall be submitted to:

USAID Development Experience Clearinghouse (DEC)
Online (preferred):
<http://dec.usaid.gov>
Mailing address:
Development Experience Clearinghouse
M/CIO/KM
RRB M.01
U.S. Agency for International Development

Washington DC 20523

The Final Report shall contain the following information as described in 22 CFR 226.51(d), covering the full period of the Award: an executive summary of the accomplishments and results achieved; an overall description of the activities and accomplishments; a summary of problems/obstacles encountered during implementation; an assessment of the performance in accomplishing the project's objectives; significance of these activities; findings; comments and recommendations; other pertinent information.

This report should eliminate politically sensitive or proprietary information. Reports should incorporate as many graphics (maps, photos, charts, etc) as possible and should include all project and evaluation tools and materials, in annex.

Financial Reporting

1. The recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer's Technical Representative (AOTR) and The Agreement Officer (AO).

Electronic copies of the SF-425 can be found at:
http://www.whitehouse.gov/omb/grants/standard_forms/ff_report.pdf and
<http://www.forms.gov/bgfPortal/docDetails.do?dId=15149>.

Line item instructions for completing the SF-425 can be found at:
http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf.

Financial Reporting on the Trust Fund expenditures shall be submitted to the Agreement Officer's Technical Representative in "Euro" currency on a quarterly bases using SF-269 or SF-269A, Financial Status Report. Recipient shall submit monthly reimbursement vouchers that are specific to Trust Fund expenditures in Euro.

2. The recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMPLOC Unit, the Agreement Officer (AO), and the AOTR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

X. SUBSTANTIAL INVOLVEMENT

Understanding that USAID always has some involvement in assistance awards, including monitoring performance, reviewing reports, or providing approvals, in order to effectively support the achievement of the expected results, in addition to the standard prior approvals, this Cooperative Agreement will also require substantial involvement in the following areas:

1) Annual Work-Plans

USAID AOTR will approve the annual work plans, including a sub-section on collaboration with other USAID programs and other donors. Any significant changes or revisions to the approved work-plans will require additional approval.

2) Key Personnel

Key Personnel are those considered to be essential to the work being performed under this Award. In accordance with the "Substantial Involvement," the USAID AOTR must approve in writing Key Personnel or their replacement under this Award. The following positions have been designated as key to the successful completion of the objective of this Award.

Position Title

TBD

3) Performance Based Monitoring Plan (PBMP)

As part of the Annual Workplan, USAID AOTR will approve the Recipient's PBMP developed and aligned with USAID's Program Element Indicators, including any significant changes or revisions thereto.

4) Sub-awards

USAID AOTR, will approve the selection criteria and selected sub-recipients (as defined in 22 CFR 226.2) and the substantive provisions of the sub-awards (as defined in 22 CFR 226.2). The AOTR's approval of the substantive provisions of the sub-awards is limited to technical and programmatic matters only; such approval shall not extend to "contractual"/administrative/financial provisions, which must be in accordance with the terms and conditions of this Award and ADS 303, unless otherwise approved, in advance and in writing, by the Agreement Officer.

Please note that consistent with existing responsibility as per 22 CFR 226.51, section (f), "Recipients shall immediately notify USAID of developments that have a significant impact on the award-supported activities. 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. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation." This provision is applicable to all sub-grants as well as the prime grantee.

(END OF SECTION C)

SECTION D

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

Please complete the certifications and assurances on the following website:

Certifications, Assurances, & Other Statements of Recipient:

<http://www.usaid.gov/policy/ads/300/303sad.pdf>

Certification Regarding Terrorist Financing Implementing E.O. 13224:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_14.pdf

Supporting USAID's Disability Policy in Contracts, Grants, and Cooperative Agreements, AAPD 04-17:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_17.pdf

OMB CIRCULAR A-133 OR SIMILAR AUDITS

If applicable, please provide the date of your most recent A-133 or similar audit, including findings and results of such audits.

Solicitation No. _____

Application/Application No. _____

Date of Application/Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG
TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Print Name and Title: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182). _____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Print Name and Title: _____

Date: _____

Address: _____

NOTICE:

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

CERTIFICATION REGARDING USE OF FY2004-FY2008 HIV/AIDS FUNDS

PROHIBITION ON THE USE OF FEDERAL FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION -ASSISTANCE (JULY 2004)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.

(b) [This subsection (b) only applies to foreign non-governmental organizations and PIOs receiving U.S. Government funds to carry out programs that target victims of severe forms of trafficking as either prime awardees or subawardees.]

(1) For programs that target victims of severe forms of trafficking, as a condition of entering into this agreement or subagreement, the recipient/subrecipient agrees that in its activities outside of the United States and its possessions it does not promote, support, or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.

(2) The following definitions apply for purposes of this clause:

FOREIGN NON-GOVERNMENTAL ORGANIZATION – The term “foreign non-governmental organization” means an entity that is not organized under the laws of any State of the United States, the District of Columbia or the Commonwealth of Puerto Rico.

SEVERE FORMS OF TRAFFICKING IN PERSONS. - The term “severe forms of trafficking in persons” means— (A) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or

(B) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(c) The recipient shall insert this provision in all sub-agreements under this award.

(d) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination, in whole or in part, of the agreement by USAID prior to the end of its term.”

ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)

An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combatting HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

CONDOMS (ASSISTANCE) (JUNE 2005)

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, "USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at:

http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html"

PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (JUNE 2005)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b) Except as noted in the second sentence of this paragraph, as a condition of entering into this agreement or any subagreement, a non-governmental organization or public international organization recipient/subrecipient must have a policy explicitly opposing prostitution and sex trafficking. The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(c) The following definition applies for purposes of this provision:

Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subagreements.

(e) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Certification

_____ [Recipient's name] certifies compliance as applicable with the standard provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking" included in the referenced agreement.

Signature: _____

Print Name and Title: _____

Date: _____

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

Yes No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes No

5. Is the applicant a non-religious community based organization?

Yes No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes No

8. Is the applicant a local affiliate of a national organization?

Yes No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

(END OF SECTION D)

SECTION E - ANNEXES

ANNEX 1 – BRANDING STRATEGY AND MARKING PLAN

1. BRANDING STRATEGY – ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents – specifically mothers.*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."*

Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth.

Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

Community Action Initiative Project in Kosovo

(d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or sub-awards.

A **Presumptive Exception** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications,

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surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) **Submission Requirements.** The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

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(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

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(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) **Award Criteria:** The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R.226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

3. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web

sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Sub-recipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub-award, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to sub-recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

(1) All Recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

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(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Sub-recipients. To ensure that the marking requirements "flow down" to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows:

"As a condition of receipt of this sub-award, marking with the USAID Identity of size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [**one week**] days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers “flow down” to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

ANNEX 2– MANDATORY AWARD REQUIREMENTS

1. APPLICABILITY OF 22 CFR PART 226 (May 2005)

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

2. IMPLEMENTATION OF E.O.13224 -- EXECUTIVE ORDER ON TERRORISM FINANCING (MAR 2002)

The Recipient/subrecipient(s) is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient/subrecipient(s) to ensure compliance with these Executive Orders and laws. This provision must be included in all subawards issued under this agreement.

3. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCE (JAN 2002)

Funds in this [agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [AO/AOTR].

4. USAID DISABILITY POLICY– ASSISTANCE (DEC 2004)

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to

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engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or Cooperative Agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.”

5. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JAN 2004)

(1) The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:

- (a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
- (b) Have been convicted within the preceding three-years period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
- (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
- (d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

(2) The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award: DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003) The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

(3) The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

6. DRUG-FREE WORKPLACE (JAN 2004)

(1) The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must

- (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
- (b) Specify the actions the recipient will take against employees for violating that prohibition; and

(c) Let each employee know that, as a condition of employment under any award, he or she (1) Must abide by the terms of the statement, and (2) Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.

(2) The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about

(a) The dangers of drug abuse in the workplace;

(b) Your policy of maintaining a drug-free workplace;

(c) Any available drug counseling, rehabilitation and employee assistance programs; and

(d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.

(3) Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.

(4) The recipient agrees to immediately notify the Agreement Officer if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.

(5) Within 30 calendar days of learning about an employee's conviction, the recipient must either

(a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or

(b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.

(6) The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

7. ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (JUL 2004)

The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote, support or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked. Foreign organizations, whether prime or subrecipients, that receive U.S. Government funds to fight trafficking in persons cannot promote, support or advocate the legalization or practice of prostitution when they are engaged on overseas activities. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.

8. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12 (HSPD-12) (SEP 2006) - ASSISTANCE

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 "smart card" IDs to applicable recipients (and recipient employee), using a phased approach.

Effective October 27, 2006, USAID will begin issuing new "smart card" IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID's information

systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employees) loses or damages his/her existing ID and would need a replacement ID prior to October 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV process described below and be issued one of the new smart cards.) Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID's information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID's information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual's employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notice, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee's employee to have routine physical access to USAID space or logical access to USAID's Information Systems.

9. EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATION (February 2004)

- a. The recipient may not discriminate against any beneficiary or potential beneficiary under this award on the basis of religion or religious belief. Accordingly, in providing services supported in whole or in part by this agreement or in its outreach activities related to such services, the recipient may not discriminate against current or prospective program beneficiaries on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice;
- b. The Federal Government must implement Federal programs in accordance with the Establishment Clause and the Free Exercise Clause of the First Amendment to the Constitution. Therefore, if the recipient engages in inherently religious activities, such as worship, religious instruction, and proselytization, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.
- c. If the recipient makes subawards under this agreement, faith-based organizations should be eligible to participate on the same basis as other organizations, and should not be discriminated against on the basis of their religious character or affiliation.

10. PROHIBITION ON THE USE OF FEDERAL FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION - ASSISTANCE (JULY 2004)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.

(b) [This subsection (b) only applies to foreign non-governmental organizations and PIOs receiving U.S. Government funds to carry out programs that target victims of severe forms of trafficking as either prime awardees or subawardees.]

(1) For programs that target victims of severe forms of trafficking, as a condition of entering into this agreement or subagreement, the recipient/subrecipient agrees that in its activities outside of the United States and its possessions it does not promote, support, or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.

(2) The following definitions apply for purposes of this clause:

FOREIGN NON-GOVERNMENTAL ORGANIZATION – The term “foreign non-governmental organization” means an entity that is not organized under the laws of any State of the United States, the District of Columbia or the Commonwealth of Puerto Rico.

SEVERE FORMS OF TRAFFICKING IN PERSONS. -- The term “severe forms of trafficking in persons” means—

(A) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or

(B) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(c) The recipient shall insert this provision in all sub-agreements under this award.

(d) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination, in whole or in part, of the agreement by USAID prior to the end of its term.”

11. Standard Provisions for U.S. Non-Governmental Organizations accessible at: <http://www.usaid.gov/policy/ads/300/303maa.pdf>, are hereby incorporated by reference as attachments to this RFA.

12. Authorized Geographic Code

The authorized Geographic Code for procurement of goods and services under this Award is 000 (United States). However, local procurement in the Cooperating Country is authorized within the parameters specified in 22 CFR 228.40, ‘Local Procurement’. Also, per USAID/General Notice No. 11113, dated November 30,

2010, a blanket waiver for local procurements of commodities and services for up to the amount of \$5,000,000.00 has been approved by the USAID Administrator:
<http://iapp1.usaid.gov/notices/notDetail.cfm?msgid=19657&prev=true&currmo=11&curryr=2010>.

(END OF SECTION E)

SECTION F – INITIAL ENVIRONMENTAL EXAMINATION (IEE)



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FROM THE AMERICAN PEOPLE

**U.S. Agency for International Development
INITIAL ENVIRONMENTAL EXAMINATION
COMMUNITY ACTION INITIATIVE PROJECT
USAID KOSOVO**

A. PROGRAM AND ACTIVITY DATA

PROJECT NAME: Community Action Initiative Project (CAIP)

ASSISTANCE OBJECTIVE: **AO 3:** Empowering Kosovo's Citizens to Consolidate a Functioning Democracy
IR 3.4: Increased Integration and Participation of Minorities

PROGRAM AREA: PA 1.6 Conflict Mitigation and Reconciliation

COUNTRY: KOSOVO

ORIGINATING OFFICE: Democracy and Governance Office (DGO)
USAID/Kosovo

DATE: January 18, 2010

IEE AMENDMENT: Yes No

DCN OF ORIGINAL IEE: N/A

PURPOSE OF AMENDMENT: N/A

IMPLEMENTATION START: FY 2011

IMPLEMENTATION END: FY 2014

LOP AMOUNT: \$ 10,000,000

AMENDMENT FUNDING AMOUNT: N/A

CONTRACT/AWARD # IF KNOWN: N/A

Environmental Media and/or Human Health Potentially Impacted (check all that apply):
None Air Water Land Biodiversity Human health Other

Environmental Action Recommended:

Categorical Exclusion:	<input checked="" type="checkbox"/>	Positive Determination:	<input type="checkbox"/>
Negative Determination:	<input type="checkbox"/>	Deferral:	<input type="checkbox"/>
Neg. Deter. with Conditions:	<input checked="" type="checkbox"/>	Exemption:	<input type="checkbox"/>

B. BACKGROUND AND ACTIVITY/PROGRAM DESCRIPTION

Two years after the declaration of independence in February 2008, Kosovo has made significant progress in implementing the principles of the UN Envoy Marti Ahtisaari's Comprehensive Proposal for the Status Settlement. These principles are now an integral part of the Kosovo Constitution that came into force on June 15, 2008, and includes guarantees for minority rights and representation in key public institutions, municipal self-government as part of decentralization, and the protection of religious and cultural sites.

Since November 2009, the success of the process of decentralization has been significant. The Kosovo Serb-minority municipalities south of the Iber/Ibar River have received a considerable degree of legitimacy from their citizens through local elections and are now well in the process of consolidation. The success in south does not apply to Kosovo Serb municipalities in the north. Despite the fact that a Municipal Preparation Team was established for the new municipality of Mitrovica North, this and the three municipalities of Leposavic/Leposaviq, Zubin Potok and Zvecan, remain held up in a state of financial and psychological reliance on parallel institutions supported by Serbia.

The July 2010 ruling of the International Court of Justice (ICJ) in favor of the legitimacy of the declaration of independence, and the September 9, 2010 UN General Assembly adopted resolution calling for direct talks between Kosovo and Serbia, has brought about a new momentum to begin to open the democratization processes in municipalities north of the Iber/Ibar River. All parties recognize that this process cannot and will not occur except by the acceptance of the Kosovo Serb population and with steady international support.

1. Program Objectives

The overall goal of the CAIP is to increase confidence among minority communities and create an environment conducive to their participation in matters that concern their viable future in Kosovo. The Project is geared towards strengthening the organizational and technical capacities of local and regional minority civil society organizations to develop and implement advocacy initiatives that effectively address community priorities and affect social changes that improve local residents' quality of life and livelihood opportunities.

The activity will contribute to Assistance Objective AO 3: "Empowering Kosovo's Citizens to Consolidate a Functioning Democracy", through direct contribution to the Intermediate Result IR 3.4: "Increased Integration and Participation of Minorities", and sub-intermediate results 3.4.1: "Improved Livelihoods of Minorities", and 3.4.2: "Increased Confidence in a Viable Future in Kosovo among Minorities", of the USAID/Kosovo Strategy 2010-2014. Activities are grouped under the following three Project objectives:

Objective 1: Establish community organizations and institute effective models of local participation

Objective 2: Strengthen regional and national linkages within non-majority communities, and between non-majority and majority communities

Objective 3: Improve the quality of life and economic development opportunities in non-majority areas

The Community Action Initiative (CAI), project will employ a multi-sectoral approach at the community level that responds to targeted communities' articulated dissatisfaction and needs.

2. Program Overview

Component A:	Technical Assistance and Training under Objectives 1 and 2.
Estimated Level of Effort (LOE):	40%

Under Component A, Community Action Initiative will involve mostly technical assistance and training as elaborated below:

Objective 1: Establish community organizations and institute effective models of local participation

Possible capacity-building activities that can be undertaken in support of this component include:

- Organization of town hall meetings at the village level to understand community dynamics, needs, and priorities in targeted municipalities.
- Facilitation of election processes to establish forums at the village and municipal level comprised of representatives that will assume the leadership in planning and carrying out improvements in the community.
- Training and leadership capacity building for the forum members.
- Facilitation in planning and prioritization processes and assignment of specific responsibilities for the forum members.
- Support learning by doing initiatives and pragmatic problem solving at the community level.
- Facilitation of consultative processes and promotion of transparency between forum representatives and the community.

Objective 2: Strengthen regional and national linkages within non-majority communities, and between non-majority and majority communities

Possible activities that can be undertaken in support of this objective include:

- Engage existing civil society networks such as the Kosovo Policy Action Network (KPAN) in reaching out to communities and core civil society leaders, and discussing community needs and ongoing community-based efforts that address those needs under the auspices of the project.
- Within 45 days of project initiation, establish a Regional Community Resource Center to serve as an intermediary support institution and a centralized information point to inform CSOs and CBOs about the programs and services offered through the Project, and other USAID assistance programs active in Kosovo.
- Support cross-Iber/Ibar River communication efforts with the focus on the betterment of daily life and participation.
- Facilitate trade fairs and Business to Business (B2B) events.
- Facilitate professional business meetings targeting specific sectors.

<p>Component B: Infrastructure and micro-enterprise assistance under Objective 3 Estimated Level of Effort (LOE): 60%</p>
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Under Component B, in addition to technical assistance and training, CAI will support pilot programs through small grants based on community priorities and tangible small-scale infrastructure improvements. Under this component, the implementer will employ qualified engineers to provide oversight from design through implementation for all community infrastructure grants.

A number of local engineers have been trained in USAID environmental compliance procedures and are applying these during the implementation of USAID projects as part of the implementer technical staff. All project with negative determination have designated key staff that conduct environmental reviews. In addition, the USAID/Kosovo Mission engages a local Kosovar Environmental specialist graduated in the US in conducting quality assurances for these procedures.

Objective 3: Improve the quality of life and economic development opportunities in non-majority areas

Possible activities that can be undertaken in support of this objective include:

- Establish continuous cycles of engagement at the community level, through evolving tiers of project funding, starting with rapid seed-grants (30 days), small to medium local level investments (3 months), and medium size investments at the municipal level (6 months).

- A local flexible community-driven investment fund established to provide quick support to local seed initiatives and support direct requests for equipment or materials from communities for projects that have been already initiated by the local community, with the materials provided complementing the on-going initiative.
- Grants program to support local private-sector-led advocacy and tangible improvement initiatives that focus on creating short- or medium-term economic opportunities and employment in sectors that have visible impact on the vast majority of the community.
- Support community or civil society-led activities that animate social cohesiveness at the local level through labor-intensive activities that provide cash for work and address priority concerns identified by the community.

This component will provide services and funding support to address economic security and unemployment among minorities, by engaging civil society and small businesses to support effective and sustainable income generation activities in their communities through specific income generation and a small grants community-based incentives program and workforce development programs. Infrastructure, support to Micro-enterprises, and agriculture may be three areas of assistance under Objective 3 and will require assurances that the activities to be implemented are environmentally sound. The program will include a fund for grants and sub-contracts to support local partners, including community groups and civil society organizations, in implementing initiatives that contribute to the program's objectives.

C. COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)

a. Country Information

The Republic of Kosovo is a new country, established as a state on February 17, 2008. It lies in Southeast Europe in the central part of the Balkan Peninsula, bordered on the southwest with Albania, on the northwest with Montenegro, on the north and northeast with Serbia, and on the southeast with Macedonia. Its population is young (65% is under 30 years) and has the highest birthrate (2.5%) in Western Europe (Balkan Insight, 2009). It also has a literacy rate that exceeds 90% and an unemployment that is greater than 40%. Major industries are agriculture, energy, and mining. There is a low level of economic development, very slow development of privatization processes of government-owned enterprises, and an unclear vision for economic development. Industrial production and mining from the former socially-owned sectors has dropped and the increase of privately owned production enterprises is slow. There is a scarcity of qualified professionals in all sectors of the economy and within government institutions.

b. Baseline Environmental Information

• Environmental Context Related to the Project

The environment—including environmental issues, problems, and threats to the environment—in Kosovo receives very little attention and is a low priority in the government's agenda. To its credit, Kosovo is adopting new environmental laws and policies, and government institutions are struggling to plan and implement programs. There are some success stories, but overall, environmental awareness is low and the implementation of programs to address threats and issues is small.

Water resources in Kosovo, their protection, their use, and their treatment have a key role in the nation's environmental picture. The country is a virtual water tower in the central Balkan region. Elevations in the central part of the country range from 400 to 700 meters, while mountains on the borders, especially the west and south, range upwards of 2,500 meters. This also means that all surface water flows out of Kosovo; no water flows into the country from outside of its borders.

This has significant implications for Kosovo as it strives for membership in the EU. Trans boundary agreements, treaties, and policies that reflect the protection of water resources (including aquatic ecosystems and species), the treatment of pollutants flowing into surface waters and being absorbed into groundwater, and access to water by citizens are key environmental issues that will need to be addressed.

Water, clean water, can be the common focal point for Kosovo's environmental causes. Adequate supplies, especially for economic development and high current use by the energy sector, are recognized as weak and

shortages already occur in the drier summer months, especially in urban areas. Protection of watersheds by vegetative (tree) cover is poor, resulting in erosion into surface (storage) reservoirs and streams. Lack of forested cover on watershed areas needed for drinking and industrial uses also means that infiltration into underground aquifers is being impaired. And, finally, the complete lack of wastewater treatment facilities throughout the country means that all surface waters in the country function as disposal conduits for all manner of sewerage and pollutants from residential, municipal, and industrial sources.

- **Description of Relevant Environmental and Natural Resources Policy, Law and Regulation**

Kosovo is adopting laws that are harmonized with EU environmental standards. However, these laws do not have the needed sub-laws, regulations, and policies needed for implementation. Key environmental policy documents include the Kosovo Environmental Strategy 2005-2015, adopted by Government of Kosovo in July 2004, and the Kosovo Environmental Action Plan 2006-2010 (KEAP), the midterm roadmap for implementation of the Environmental Strategy. Many of the 52 priority projects listed Strategy's annex are being implemented.

The Ministry of Environment and Spatial Planning (MESP) is the lead environmental institution responsible for the preparation and implementation of environmental laws. They are supported by the 30 municipalities. A municipality may exercise responsibility for those environmental matters originating, or likely to originate, within their municipality, if programs can be handled, controlled, prevented, financed, or managed. Municipal responsibilities include establishing standards and ensuring compliance with standards, protection of the environment within the municipality, and establishing measures consistent with sustainable economic development.

The Kosovo Assembly has adopted several laws related to the environment, all of which include use of different economic instruments. The State of Environment Report in Kosovo is published every two years by Kosovo Environmental Protection Agency (KEPA). KEPA collects the environmental data from monitoring institutions, companies, operators and different establishments, publications, reports and other sources. The Report establishes a firm foundation for cooperation and coordination with the European Environmental Agency (EEA) and EIONET². The European Partnership priorities provide the basic framework for harmonization with EU environmental legislation. Kosovo has made advances in legislation concerning air quality and water quality and the new environmental laws are an important step.

The Fund for Environmental Protection was established in Article 77 of the Law for Environmental Protection. The draft Eco Fund requirement was drafted in 2005 to support financial investments financed by the Kosovo Assembly through revenues from environmental taxes and be used for waste collection and disposal, utilization of biomass, energy efficiency and reduction of CO₂ emissions, wastewater treatment plants, monitoring systems and equipment for inspectors, and more.

The Law on Waters (2004/24) was adopted on October 14, 2004. The Kosovo Water Law sets provisions for the development of the Water Management Strategy and Action Plan. The sub-legal act for drafting of the Water Resources Management Plan has been issued. Kosovo's national policy includes the process of EU integration. One of the challenges is the fulfillment of EU environmental standards and harmonization of national legislation with EU legislation. Kosovo is working to harmonize with EU directives through Frame Directive for Waters (2006/12/EC), Directive for Urban Contaminated Waters (91/271/EEC), Directive for Potable Water (98/83/EC), and Directive for Nitrates (91/676/EEC).

Apart from the Law on Environmental Protection (2003), the Law on Air Protection (2004) was drafted in accordance with certain EU Directives. The Law categorizes main pollution sources, sets basic air pollution indicators and obligations, and recommends adoption of limits for air discharge according to EU and World Health Organization (WHO) standards. In its harmonization efforts EU directives, Kosovo is working through the Frame Directive for Environmental Air Quality (2006/62/EC), Directive for Value Limits of SO₂, NO_x, particulate matter) and lead in Environmental Air (99/30/EC), Directive for Benzene and Carbon Monoxide (2000/3/EC), and Directive for Ozone (2002/3/EC) to reach harmonization with EU standards.

The Waste Law was approved by the Assembly on July 22, 2005. This Law was prepared according to relevant EU Directives and the experiences of neighboring countries. The most important document which

will need to be approved and enforced is the National and Municipal Waste Management Strategy with Action Plan, where main directions for waste management will be defined and long-term needs in local and national level will be assessed. In trying to harmonize with EU standards, Kosovo is working through Directive for Waste (2006/12/EC), Directive for Hazardous Waste (91/689/EC), Directive for Waste Dumping Sites (99/31/EC), Directive for Waste Incineration (2000/76/EC), and Directive for Hazardous Substances (67/548/EEC).

D. EVALUATION OF ACTIVITY WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL AND IDENTIFICATION OF MITIGATION MEASURES

1. Component A – Technical Assistance and Training under Objectives 1 and 2 (estimated at 40% of LOE)

Table 1 Illustrative activities under Program Component A—[Technical Assistance and Training under Objectives 1 and 2] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
1.1. Funding Support for Regional Community Resource Center	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.2. Technical Assistance in planning processes	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.3. Training to CSO and CBO	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.4. Facilitation of town hall and community meetings	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.5. Grants to CSO advocacy and promotion activities	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.6. Production of promotional media material and documentaries	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.7. Organizational support to CSOs and CBOs	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(i)	None
1.8. Publications: Surveys and analysis	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None
1.9. Meetings and conferences	No adverse impact anticipated	Categorical Exclusion per 22 CFR 216.2(c)(2)(iii)	None

3. Component B— Infrastructure and micro-enterprise assistance under Objective 3 (estimated at 60% of LOE)

This component will provide services and funding support to address economic security and unemployment among minorities, by engaging civil society and small businesses to support effective and sustainable income generation activities in their communities through specific income generation and a small grants community-based incentives program and workforce development programs. Infrastructure, support to Micro-enterprises, and agriculture may be three areas of assistance under Objective 3 and will require assurances that the activities to be implemented are environmentally sound. The program will include a fund for grants and sub-contracts to support local partners, including community groups and civil society organizations, in implementing initiatives that contribute to the program's objectives. The implementing partner will conduct and environmental impact assessment in parallel with the public scoping meetings convened to select the projects. This environmental review will provide a basic examination at the sectoral and sub-sectoral level to examine expected environmental impacts of proposed activities, alternatives to the proposed projects, and mitigation measures to address each of the proposed projects. If any of the proposed projects result in any of the classes of actions that normally have a significant effect on the environment as described in 22 CFR 216.2(d)(1) including: i) programs of river basin development; ii) irrigation or water management; iii) agricultural land leveling; (iv) drainage projects; (v) large scale agricultural mechanization; (vi) new lands development; (vii) resettlement projects; (viii) penetration road building or road improvement projects greater than 1 km; (ix) powerplants; (x) industrial plants; and, (xi) medium and large scale potable water and sewerage projects, then an environmental scoping statement must be prepared and approved by the Bureau Environmental Officer prior to initiating an environmental assessment. An environmental assessment is required to be approved by the Bureau Environmental Officer prior to initiating any of the activities which the assessment addresses.

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objective 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions			
Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
2.1 Small scale rehabilitation of village roads	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation	<ul style="list-style-type: none"> Limited to road repairs for up to 3 km. An environmental report will be prepared for each type of facility. (Annex 1) The report shall include an environmental mitigation and monitoring plan for each type of rehabilitation. The report will be reviewed and approved by the MEO with a copy to the BEO. If these repairs are in ecologically sensitive areas (national forest, adjacent to endangered species habitat), the BEO will need to approve the environmental report. If the environmental review identifies a positive determination, the IEE will be amended to reflect this and to require an environmental assessment. Health and safety measures to protect worker health will be followed.

Table 2 Illustrative activities under Program Component B—[Infrastructure and micro-enterprise assistance under Objective 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
<p>2.2 Small scale infrastructure rehabilitation of existing facilities (i.e. community centers, schools, health clinics)</p>	<p>Air, Water, Land, Human Health</p>	<p>Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation</p>	<ul style="list-style-type: none"> • All applicable local laws, regulations and standards and relevant mitigation measures from the following guidance shall be incorporated into the EMMP. http://www.encapafrika.org/sectors/roads.htm • Limited to small scale activities. • An environmental report will be prepared for each type of facility. The report will be reviewed and approved by the MEO with a copy to the BEO. (Annex 1) • The report shall include an environmental mitigation and monitoring plan for each type of facility. • If the environmental review identifies a positive determination, the IEE will be amended to reflect this and to require an environmental assessment. <p>The contractor shall ensure:</p> <ul style="list-style-type: none"> • Proper health and safety is followed by all subcontractors; no use of: ACM, lead pipes, or lead-based paint; materials containing formaldehyde must be in accordance with the European E0; proper disposal of construction debris; and proper site drainage. • If ACM must be removed, contractors must follow internal norms for abatement and disposal and provided workers with PPE. • An appropriate Onsite Waste Treatment System shall be installed for locations not connected to municipal sewers. • Best engineering practices will be applied to ensure an energy efficient design and operations. • That all appropriate local laws, regulations and standards are incorporated into the EMMP • That all relevant mitigation measures are incorporated into the EMMP from the following guidance: http://www.encapafrika.org/sectors/construction.htm and http://www.encapafrika.org/sectors/watsan.htm

Table 2 Illustrative activities under Program Component B —[Infrastructure and micro-enterprise assistance under Objective 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
2.3 Small scale rehabilitation of village bridges	Air, Water, Land, Human Health	Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale infrastructure rehabilitation	<ul style="list-style-type: none"> • Limited to small scale repairs. No new bridges may be constructed. • An environmental report will be prepared for each type of facility. (Annex 1) • The report shall include an environmental mitigation and monitoring plan for each type of rehabilitation. The report will be reviewed and approved by the MEO with a copy to the BEO. • If the environmental review identifies a positive determination, the IEE will be amended to reflect this and to require an environmental assessment. • All appropriate local laws, regulations and standards to protect health and safety measures to protect worker health will be incorporated into the EMMP. • All appropriate mitigation measures from the following guidance shall be incorporated into the EMMP: http://www.encapafira.org/sectors/roads.htm
2.4 Small scale rehabilitation of village-based water supply systems	Air, Water, Land, Human Health	Negative determination with conditions pursuant to 22 CFR 216.3(a)(2)(iii)	<p>Small scale water supply system projects consists of the following: hand-dug wells, small-diameter boreholes, wells with hand pumps, roof rainwater catchments, simple spring-fed gravity feed water distribution systems , Well or surface water source pump with a simple small storage tank and piped distribution to standposts or individual yard taps or connections, Extensions of existing urban water lines into unserved or under-served peri-urban zones, showers, clothes-washing basins, hand washing taps.</p> <ul style="list-style-type: none"> • For each sub-project an Environmental Report will be completed for each type of activity. (Annex 1) • An environmental mitigation and monitoring plan will be developed for each type of activity. • The EMMP will adopt all relevant mitigation measures from the following guidance: http://www.encapafira.org/sectors/watsan.htm.

Table 2 Illustrative activities under Program Component B—| Infrastructure and micro-enterprise assistance under Objective 3| Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
<p>2.5 Donation of production and processing equipment for small businesses</p> <p>The equipment is limited to small scale production and processing equipment for small and medium enterprises most of which are anticipated to be family-operated businesses serving a limited market. It is anticipated that no more than one equipment set or production line will be donated per business.</p>	<p>Air, Water, Land, Human Health</p>	<p>Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii) for small scale production and processing</p>	<p>The negative determination with conditions applies to Small Medium Enterprises projects. A Project Description Questionnaire (Annex 2) must be completed. Using the information provided from this form, the implementing partner should use the Screening Tool to Determine Significance of Environmental Impacts (Annex 3) to determine the project category for the individual project. If the project falls within Category I, then it is Categorically Excluded a no further environmental review is necessary. If the project falls within Category II, then an environmental report (Annex 1) must be completed. If Section F, Recommended Action, boxes 1 or 2 are checked, then the report may be approved by the Mission Environmental Officer. Otherwise, the environmental review determination report must be submitted to the Bureau Environmental Officer for further action. If the Activity falls within Category III it is a positive determination and cannot be undertaken without a full environmental assessment with scoping, approved by the Bureau Environmental Officer.</p>
<p>2.6 Donation of production and processing equipment for Agriculture Associations</p> <p>The types of equipment that small farmers and processors desperately need include: lacto freezers, tractors, refrigeration, packaging machinery, feed</p>	<p>Air, Water, Land, Human Health</p>	<p>Negative Determination with conditions recommended per 22 CFR 216.3(a)(2)(iii)</p>	<p>Medium and Large Scale industries are not included. Such activities would be considered a positive determination pursuant to 216.2(d)(1)(x) industrial plants.</p> <p>The negative determination with conditions applies to Small Medium Enterprises projects. To determine the project description a Project Description Questionnaire (Annex 2) must be completed. Using the information provided from this form, the implementing partner should use the Screening Tool to Determine Significance of Sub-project Environmental Impacts (Annex 3) to determine the project category for the individual project. If the project falls within Category I, then it is Categorically Excluded a no further environmental review is</p>

Table 2 Illustrative activities under Program Component B — [Infrastructure and micro-enterprise assistance under Objective 3] Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions

Illustrative Activities	Potential Impacts	22 CFR 216 Environmental Determination	Mitigation Measures/Conditions
<p>mixers, quality control/testing equipment etc. It is anticipated that the equipment will be limited in numbers, meant for collective usage only to serve a limited number of farmers/producers.</p>			<p>necessary. If the project falls within Category II, then an environmental review determination report (Annex I) must be completed. If Section F, Recommended Action boxes 1 or 2 are to be checked, then the report can be approved by the Mission Environmental Officer. Otherwise, the environmental report must be submitted to the Bureau Environmental Officer for further action. If the Activity falls within Category III it is a positive determination and may not be financed under this program without a full environmental assessment with scoping approved by the Bureau Environmental Officer.</p>
<p>2.7 Provision of engineering support and oversight from design through implementation of infrastructure activities</p>	<p>No adverse impact anticipated. The activities are environmentally beneficial and ensure environmental compliance and engineering integrity</p>	<p>Categorical Exclusion per 22 CFR 216.2(c)(2)(i)</p>	<p>Medium and Large Scale industries are not included. Large scale agricultural mechanization is not included. No more than 10 tractors can be procured under this activities, otherwise an environmental assessment pursuant to 22 CFR 216.2(d)(1)(v) will be required. Support to other then small businesses will require an Amendment to this IEE</p>

E. RECOMMENDED ENVIRONMENTAL ACTION

1. Recommended Environmental Threshold Determinations:

Categorical Exclusions:

A categorical exclusion is recommended for the following activities:

- A categorical exclusion pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc) is recommended for **activities 1.1 through 1.7 and 2.7** These activities related to training and capacity building, establishment of a community organizations, development of guidance tools, organization of farmers organizations and other groups, facilitation of public private partnerships, public outreach and awareness activities.
- A categorical exclusion is recommended pursuant to 216.2(c) (2) (iii) for analyses, studies, academic or research workshops and meetings is recommended for **activities 1.8 and 1.9.** These activities related to surveys and analyses that may be conducted during the course of CAI.

Per 22 CFR 216.2(c)(1), neither an IEE nor an EA is required for activities which are determined to fall within one or more of the classes of activities listed in 22 CFR 216.2(c)(2).

Negative Determination with Conditions:

A negative determination with conditions pursuant to 22 CFR 216.3(a)(2)(i) is recommended for **activities 2.1, 2.2, 2.3, 2.4, 2.5, and 2.6 from the Section D table.**

2. Conditions and Mitigation Measures

- An environmental report (Annex 1) must be prepared for all sub-projects under this IEE. Where boxes 1 or 2 of Section F of the environmental report are checked, the Mission Environmental Officer may approve the report. Otherwise, it must be submitted to the Bureau Environmental Officer for approval.
- For projects involving small and medium enterprises a Project Description Questionnaire (Annex 2) must be completed for each subproject considered under this IEE. The Project Description Questionnaire will then be used to classify the environmental significance of the Project using the Annex 3. Screening Tool to Determine Significance. Subprojects falling within Category I are Categorically Excluded and do not require further review. Subprojects falling within Category review require completion of an Environmental Report (Annex 1). The MEO can approve report for which boxes 1 and 2 of Section F of the report apply. The Implementer will be required to prepare an Environmental Monitoring and Mitigation Plan (EMMP) for projects identified as having potential adverse impacts on the environment. If boxes 4-6 are checked, then the report must be submitted to the Bureau Environmental Officer. Projects falling within Category III are considered positive determinations.
- Standard Required Mitigation Measures for all project sites:

Earth Resources

- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.

- Avoid subsidence and building stabilization problems through proper foundation excavation, fill placement and borrow pit management.
- Fill should avoid pockets of segregated materials, it should use well-graded materials, and it should be compacted to recognized standards.
- Avoid pollution of waterways with stockpiled construction materials.
- Cover stockpiled construction materials, as practicable.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Segregate waste which can be salvaged, re-used or recycled.
- Employ sensitive strategies with regard to trees, watercourses, plant or animal species or habitats, and important historical and archaeological features.
- As practicable, landscape construction sites in a way that is appropriate to local conditions.

Air Quality

- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Post construction timetables and traffic diversion schedules at the project site.
- Avoid the use of cement; paper; board; sealant and glazing formulations; piping; roofing material; or other materials containing asbestos.
- Avoid the use of materials known to cause indoor air quality issues such as:
 - Materials high in VOCs (volatile organic compounds) such as certain paints, adhesives, cleaning agents.
 - Materials containing formaldehyde should comply with the European E0 standard.
- Minimize burning of waste materials.

Waste Materials

- Where significant environmental impacts may occur, document and photograph pre-construction and post-construction conditions.
- Take waste materials to appropriate, designated local disposal areas.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Minimize burning of waste materials.
- Segregate waste which can be salvaged, re-used or recycled.
- Introduce measures to control and minimize the volume of waste on site.

Noise and vibration

- Establish and adhere to construction timetables that minimize disruption to the normal activities of the construction area.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Post construction timetables and traffic diversion schedules at the project site.

Human health

- Develop and implement appropriate human health and worker safety measures during construction.
- Coordinate truck and other construction activity to minimize noise, traffic disruption and dust.
- Provide temporary sanitation at the construction site.
- Handle, store, use and process branded materials in accordance with manufacturer's instructions and recommendations.
- Minimize the use of solvent-based paints, or replace with water-based materials.
- Avoid the use of materials known to cause indoor air quality issues such as:
 - Materials high in VOCs (volatile organic compounds) such as certain paints, adhesives, cleaning agents.
 - Materials containing formaldehyde should comply with the European E0 standard.
- Minimize burning of waste materials.

F. MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS AND WORKPLANS

- Appropriate environmental compliance language shall be included in solicitations and awards for this activity with an appropriate level of funding and staffing to satisfy the environmental compliance requirements set forth in this IEE. Environmental mitigation and monitoring requirements shall also be included in solicitations and awards.
- Adherence to the conditions set forth in this IEE shall be included as PMP Indicator.
- Implementing partner will incorporate conditions set forth in this IEE in to their work plans and an indicator for environmental compliance shall be included as part of the project's performance monitoring plan.

G. LIMITATIONS OF THE IEE:

This IEE does not cover activities involving:

- New Construction
- Medium and Large Scale industries and agroprocessing facilities are not included. Such activities would be considered a positive determination pursuant to 216.2(d)(1)(x) industrial plants.
- Medium and large scale water and sanitation activities having the potential for significant effects on the environment as outlined in 22 CFR 216.2(d)(1)(xi).
- Programs of river basin management, irrigation or water management, agricultural land leveling, drainage projects, large scale mechanization, new lands development, resettlement projects, penetration road building or road improvements greater than 1 km, and power plants.
- Support to extractive industries (e.g. mining and quarrying).
- Support for activities that promote timber harvesting;
- Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA – ‘Federal Insecticide, Fungicide, and Rodenticide Act’.
- Potential activity components dealing with privatization of industrial facilities or infrastructure with heavily polluted property. In such cases, an amendment to the IEE will be required to conduct Environmental Liability Assessment (ELA) as part of the privatization process.
- Procurement or use of genetically modified organisms (GMOs).
- Project preparation, project feasibility studies, and infrastructure investments for projects that may have a potentially significant impact on the environment.
- New construction.
- DCA or GDA programs.

Any of the above actions would require an amendment to the IEE approved by the E&E Bureau Environmental Officer (EE/BEO).

H. REVISIONS:

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered “major” and their effect “significant,” or if additional activities are proposed that might be considered “major” and their effect “significant,” this recommendation for a Categorical Exclusion/Negative Determination with conditions will be reviewed and, if necessary, revised by the Mission Environmental Officer (MEO) with concurrence by the EE/BEO. It is the responsibility of the USAID AOTR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of the IEE.

I. RECOMMENDED ENVIRONMENTAL THRESHOLD DECISION

For Categorical Exclusions:

A categorical exclusion is recommended for the following activities:

- A categorical exclusion pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc) is recommended for **activities 1.1 through 1.7 and 2.7**. These activities related to training and capacity building, establishment of a community organizations, development of guidance tools, organization of farmers organizations and other groups, facilitation of public private partnerships, public outreach and awareness activities.

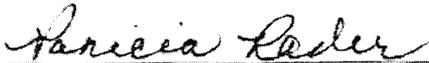
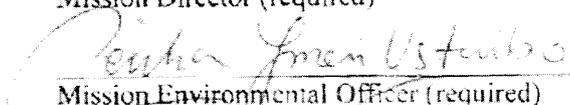
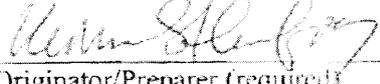
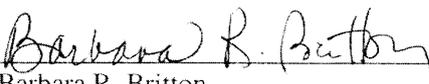
For Component B: Infrastructure and micro-enterprise assistance under Objective 3 (estimated at 60% of LOE), having the potential for adverse impact on the natural or physical environment:

Per 22 CFR 216.2(c)(1), neither an IEE nor an EA is required for activities which are determined to fall within one or more of the classes of activities listed in 22 CFR 216.2(c)(2).

Negative Determination with Conditions:

A negative determination with conditions pursuant to 22 CFR 216.3(a)(2)(i) is recommended for activities **2.1, 2.2, 2.3, 2.4, 2.5, and 2.6 from the Section D table.**

USAID Approval of Recommended Environmental Threshold Decision:

Approval :		<u>1/25/11</u>
	Mission Director (required)	Date
Approval:		<u>JAN 24, 2011</u>
	Mission Environmental Officer (required)	Date
Approval :		<u>Jan 24, 2011</u>
	AO Team Leader	Date
Approval :		<u> </u>
	Activity Manager/COTR	Date
Approval:		<u>Jan 24, 2011</u>
	Originator/Preparer (required)	Date
Concurrence:		<u>1/25/11</u>
	Barbara R. Britton E&E Bureau Environmental Officer	Date

Distribution:

IEE File

Mission Environmental Officer (to also provide a copy to COTR)

Attachments:

Annex 1 Environmental Report

Annex 2 Project Description Questionnaire

Annex 3 Screening Tool to Determine Significance of Sub-project Environmental Impacts



USAID
FROM THE AMERICAN PEOPLE

**Community Action Initiative Project (CAIP)
DCN: 2011-KOS-005**

**Environmental Review No. #: Environmental
Report for [Sub-project Name]**

Date

ENVIRONMENTAL REPORT

The purpose of this *Environmental Report* is to determine whether proposed action (scope of work) of sub projects & activities encompasses the potential for environmental pollution or concern and, if so, to determine the scope and extent of additional environmental evaluation, mitigation, and monitoring necessary to fulfill federal U.S. environmental requirements. The *ER Checklist* is intended to be used in conjunction with the Leopold Matrix by the Contracting/Agreement Officer Technical Representative (COTR/AOTR) to ensure that environmental consequences are taken into account by USAID and the host country, and to clarify the threshold decision for specific activities based on new information that was not available at the time the IEE was approved.

A. Project Data

Project Name: *(as stated in the triggering IEE)*

Country:

DCN of triggering IEE: 2011-KOS-005

Sub-Project/Activity Name:

Type of Sub-Project/Activity:

Name of reviewer: *(must be qualified environmental professional)*

Date of Review:

B. Project/Activity Description: *(Provide sufficient description and details for environmental impact analysis)*

Location: *(Provide an image from Google Earth of the location and site photos)*

C. Baseline Environmental Conditions*: *(This section will serve as Environmental Due Diligence (EDD) for the purpose of environmental risk associated with siting of the activity - A qualified reviewer will document site specific environmental conditions and document onsite & offsite sources (up to 1km radius) of potential hazards before performing environmental impact analysis)*

***Note: This portion covers only the baseline conditions, any impacts resulting from activities such as reconstruction/ construction/rehab will be covered under sections A through D.**

D. CHECKLIST FOR ENVIRONMENTAL CONSEQUENCES (i.e., Environmental Impacts) : Check appropriate column as Yes (Y), Maybe (M), No (N) or Beneficial (B). Briefly explain Y, M and B checks in next Section, "Explanations". A "Y" response does not necessarily indicate a significant effect, but rather an issue that requires focused consideration.

Y. M. N or B

- 1. Earth Resources**
 - a. grading, trenching, or excavation in cubic meters or hectare _____
 - b. geologic hazards (faults, landslides, liquefaction, un-engineered fill, etc.) _____
 - c. contaminated soils or ground water on the site _____
 - d. offsite overburden/waste disposal or borrow pits required in cubic meters or tons _____
 - e. loss of high-quality farmlands in hectares _____

- 2. Agricultural and Agrochemical**
 - a. impacts of inputs such as seeds and fertilizers _____
 - b. impact of production process on human health and environment _____
 - c. other adverse impacts _____

- 3. Industries**
 - a. impacts of run-off and run-on water _____
 - b. impact of farming such as intensification or extensification _____
 - c. impact of other factors _____

- 4. Air Quality**
 - a. substantial increase in onsite air pollutant emissions (construction/operation) _____
 - b. violation of applicable air pollutant emissions or ambient concentration standards _____
 - c. substantial increase in vehicle traffic during construction or operation _____
 - d. Demolition or blasting for construction _____
 - e. substantial increase in odor during construction or operation _____
 - f. substantial alteration of microclimate _____

- 5. Water Resources and Quality**
 - a. river, stream or lake onsite or within 30 meters of construction _____
 - b. withdrawals from or discharges to surface or ground water _____
 - c. excavation or placing of fill, removing gravel from, a river, stream or lake _____
 - d. onsite storage of liquid fuels or hazardous materials in bulk quantities _____

- 6. Cultural Resources**
 - a. prehistoric, historic, or paleontological resources within 30 meters of construction _____
 - b. site/facility with unique cultural or ethnic values _____

- 7. Biological Resources**
 - a. vegetation removal or construction in wetlands or riparian areas in hectare _____
 - b. use of pesticides/rodenticides, insecticides, or herbicides in hectare _____
 - c. Construction in or adjacent to a designated wildlife refuge _____

- 8. Planning and Land Use**
 - a. potential conflict with adjacent land uses _____
 - b. non-compliance with existing codes, plans, permits or design factors _____
 - c. construction in national park or designated recreational area _____
 - d. create substantially annoying source of light or glare _____
 - e. relocation of >10 individuals for +6 months _____
 - f. interrupt necessary utility or municipal service > 10 individuals for +6 months _____

- g. substantial loss of inefficient use of mineral or non-renewable resources _____
 - h. increase existing noise levels >5 decibels for +3 months _____
- 9. Traffic, Transportation and Circulation**
- a. increase vehicle trips >20% or cause substantial congestion _____
 - b. design features cause or contribute to safety hazards _____
 - c. inadequate access or emergency access for anticipated volume of people or traffic _____
- 10. Hazards**
- a. substantially increase risk of fire, explosion, or hazardous chemical release _____
 - b. bulk quantities of hazardous materials or fuels stored on site +3 months _____
 - c. create or substantially contribute to human health hazard _____
- 11. Other Issues** (to be used for categories not captured under 1 through 10 above)
- a. Substantial adverse impact _____
 - b. Adverse impact _____
 - c. Minimal impact _____

E. EXPLANATION OF ENVIRONMENTAL CONSEQUENCES: explain Y, M and B responses

F. RECOMMENDED ACTION (Check applicable box. MEO MUST APPROVE RECOMMENDED ACTIONS 1 and 2. RECOMMENDED ACTION 3-6 Require MEO and BEO approve. All ER Checklists must be copied to the BEO.):

- 1. Categorical Exclusion:** The project has no potential for substantial adverse environmental effects. No further environmental review is required.*
- 2. Negative Determination with Conditions:** The project has potential for adverse environmental concerns and/or environmental impacts; however the recommended mitigation measures will be developed and incorporated in to the project design & implementation phase. The recommended mitigation measures will be approved by the Mission Environmental Officer (MEO) in consultation with the BEO. *Monitoring of mitigation done will be documented in a monitoring report and sent to the E&E BEO.**
- 3. Negative Determination with Conditions and Environmental Mitigation and Monitoring Plan:** The project has substantial but mitigatable adverse environmental effects and required measures to mitigate environmental effects. Mitigation and Monitoring (M&M) Plan must be developed and approved by the BEO prior to implementation. M&M Plan is to be attached to the Scope of Work.*
- 4. Positive Determination:** The project has potentially substantial adverse environmental effects, but requires more analysis to form a conclusion. *A Scoping Statement must be prepared and be submitted to the BEO for approval.* Following BEO approval an Environmental Assessment (EA) will be conducted. Project may not be implemented until the BEO approves the final EA. *For activities related to the procurement, use, or training related to Pesticides a PERUSAP will be prepared for BEO approval.*
- 5. Positive Determination:** The project has potentially substantial adverse environmental effects, and revisions to the project design or location or the development of new alternatives is required.
- 6. Positive Determination:** The project has substantial and unmitigable adverse environmental effects. Mitigation is insufficient to eliminate these effects and alternatives are not feasible. The project is not recommended for funding.

***Note regarding applicability related to Pesticides** (216.2(e): The exemptions of §216.2(b)(1) and the categorical exclusions of §216.2(c)(2) *such as technical assistance, education, and training* are not applicable to assistance for the procurement or use of pesticides.

G. IDENTIFIED SIGNIFICANT ENVIRONMENTAL IMPACTS (including **physical, biological and social**), if any: (Use ER tools such as **Leopold Matrix** to identify significant environmental impacts)

H. Environmental Mitigation and Monitoring Plan

Activity	IDENTIFIED ENVIRONMENTAL IMPACTS	Mitigation measure(s)	Monitoring indicator(s)	Monitoring and Reporting Frequency	Party(ies) responsible.
List all activities in IEE or project processes (e.g. asbestos roof removal, installation of toilets, remove and replace flooring) that are associated with a “negative determination with conditions.” A line must be included for each activity or process that is identified	Include a separate sub-line for each environmental impact associated with a single activity or process	Describe the mitigation measures that will offset the associated environmental impact. If mitigation measures are well-specified in the IEE, quote directly from IEE If they are not well-specified in the IEE, define more specifically here.	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)	For example: “monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID activity manager.”	If appropriate, <i>separately</i> specify the parties responsible for mitigation, for monitoring and for reporting.

F. RECOMMENDED MONITORING MEASURES (if any):

APPROVAL:

Implementer Project Director/COP: _____ Date: _____
(name)

USAID/Project COTR/AOTR: _____ Date: _____

Mission / Project Name

(name)

USAID/MEO: _____ Date: _____
(name)

MEO Copy To:

Bureau Environmental Officer: _____ Date: _____
Barbara Britton

Leopold Matrix – Insert Project Type Potential Impacts

	PHYSICAL ENVIRONMENT											BIOLOGICAL ENVIRONMENT								SOCIAL ENVIRONMENT												
	Agricultural Land	Soil Erosion	Slope Stability	Energy/Mineral	Surface Water	Surface Water	Ground Water	Ground Water	Air Quality	Noise	Aquatic Ecosystems	Wetland Ecosystems	Terrestrial	Endangered Species	Migratory Species	Beneficial Plants	Beneficial Animals	Pest Plants	Pest Animals	Disease Vectors	Public Health	Resource/Land Use	Distribution Systems	Employment	At Risk Population	Migrant Population	Community Stability	Cultural/Religious	Tourism/Recreation	Nutrition		
PLANNING & DESIGN																																
	Construction																															
		OPERATION																														

KEY: Beneficial: O - High; O - Medium; O - Low Adverse: - High; - Medium; - Low

US Agency for International Development
1300 Pennsylvania Avenue, NW
Washington, DC 20523
Tel: (202) 712-0000
Fax: (202) 216-3524

Annex 2: Project Description Questionnaire

A. GENERAL INFORMATION

1. Name of enterprise & owner/operator
2. Address
3. Activity
4. Location of the enterprise (lot, settlement, town, district, province, etc.)
5. Area: (a) rural (b) urban (c) semirural
6. Zone: (a) industrial (b) residential (c) commercial

B. GENERAL DESCRIPTION OF THE ENTERPRISE

7. Number of employees (including family members)
8. Use of the premises: (a) workshop-house (b) workshop-store (c) workshop only (d) office (e) warehouse (f) production facility
9. Products: (a) manufactured in order of importance (b) not manufactured by borrower, sold as trade goods or equipment in order of importance
10. Services provided for clients
11. Machinery and equipment used (number of units, types, age in years)
12. The company performs the following activities: gluing, painting, polishing, dying, stamping, smelting, welding, applying lead, type setting, diluting acids, tanning, washing, rinsing, galvanizing, etc. (mark the activity)

C. POSSIBLE IMPACTS ON PERSONNEL AND FAMILY

13. What raw materials and other inputs are used (glues, solvents, catalysts, preservatives, etc.)? What quantities are used each month?
14. Do you know if any of the products used contain toxic substances? If so, what are the products and the toxic substances they contain?
15. Are combustibles kept out of the sun?
16. What other precautions do you usually take at your workplace to prevent injury to health?
17. Do your employees use protective gear (mark the equipment used)? (a) masks (b) goggles (c) earplugs (d) hard hats (e) gloves (f) protective clothing (g) respirators (h) boots
18. Do you have first aid equipment? Yes () No ()
19. Who knows how to use the first aid equipment?
20. Do you have a properly charged fire extinguisher? Yes () No ()
21. Do you and your employees know how to use it? Yes () No ()
22. If you use substances that could be harmful to health do you keep them in a safe place out of the reach of children? Yes () No () Do not use ()

D. IMPACT ON WATER RESOURCES

23. Is there potential for contaminating ground water with oil or chemical spills from your operations?
24. Could your operation result in degradation or contamination of ground or surface water?
25. Does your used water contain contaminating substances? Please list them (none, alkalies, acids, coloring agents, paints, solvents, oils, poisonous substances, etc.)
26. How do you dispose of your liquid waste (alkalies, acids, oils, paints, solvents, toxic substances, etc.)?
 - a. Pour it untreated down the drain
 - b. Treat it prior to pouring them down the drain

- c. Dump it in the ground
 - d. Place it in the garbage in sealed containers
 - e. Reuse it
 - f. Sell it or give it away for recycling
 - g. Dispose of it at approved facility
27. If you have a system for the treatment of liquid waste or used water, please describe it.
28. Where do you dispose of solid waste? (a) down the drain (b) in a ditch or river (c) in an approved landfill/waste facility or have it removed by approved waste service
29. Do you create areas of standing water?

E. POSSIBLE IMPACT ON CONSUMERS

30. Do the products you make contain any toxic substance that could pose a risk to consumer health? If so, have you affixed a warning to the packaging? Have you posted warning notices in your premises?
31. Are your inputs, products, or processes registered with the competent authorities (e.g. health permit, environmental permit, licenses, permits for certain substances)? Please list them.

F. POSSIBLE LOCAL NOISE, AIR AND SOIL IMPACTS

32. Is there housing nearby? Yes () No ()
33. Do you produce noise that disturbs your neighbors? Yes () No ()
34. Do you have a noise-reduction system? Yes () No ()
35. Does your operation produce gas or foul odors that affect neighbors? Yes () No () If so, do you use any system to attenuate them? Yes () No () Please describe.
36. Do you work during the night? Yes () No ()
37. Do you have trash collection? Yes () No ()
38. If not, how do you dispose of your trash? (a) burn it (b) dump it (c) bury it (d) dump it in a river (e) dispose of at approved landfill/waste facility
39. Does your trash contain chemical waste? Yes () No ()
40. Do you reuse or sell any of your scrap or waste? Yes () No ()
41. Could your operation result in degradation or contamination of soils? Yes () No ()
42. Does your operation produce dust or other particulates that pollutes the air? Yes () No () If so, do you use any system to reduce the pollution? Yes () No () Please describe.

G. CLEANER PRODUCTION REVIEW

43. Do you follow standard “good housekeeping” procedures that reduce waste, minimize accidents, and reduce costs? Yes () No ()
44. Have you assessed your facility for cleaner production possibilities? Yes () No ()
45. Are you aware of the cost of waste produced by your operations, and the potential cost savings of reducing the waste? Yes () No ()
46. Is your enterprise using substantial amounts of resources that are becoming less and less available, and more and more expensive (e.g., clean water, fuelwood, etc.)? Yes () No ()

H. SUBSECTOR-SPECIFIC QUESTIONS

47. [Entrepreneurs should respond to any subsector-specific questions at this point. (See cleaner production subsector fact sheets for examples, and customize this questionnaire accordingly.)]

I. COLLECTIVE IMPACTS

48. Are there other facilities in the nearby community that are polluting the air, water or soil? Yes (

-) No ()
49. Are there other facilities that are depleting resources important to the long-term sustainability of your business (e.g., clean water, fuelwood, etc.)? Yes () No ()
50. Does your company collect/buy/sell non-timber forest products? If so, do you know:
- a. the carrying capacity of the source? Yes () No ()
 - b. how many others are collecting? _____
 - c. are the species being collected regulated or protected under local, national, or international law? Yes () No ()

J. ADDITIONAL INFORMATION OR COMMENTS

I formally declare the above information to be true.

(Signature of the borrower)

Date: _____

COMMENTS BY THE LOAN PROVIDER:

Annex 3: Screening Tool to Determine Significance of Environmental Impacts for Sub-Projects

Classification Scheme

Group I	Categorically Excluded Project that have no significant effect on the environment
Group II	Small scale activities that may have some effects on the environment which can be controlled with appropriate mitigation measures
Group III	Activities expected to have potentially significant impact on the environment requiring an environmental scoping statement and an environmental assessment, both of which require BEO approval.

Group I: Categorically Excluded Project that have no significant effect on the environment

- Barber and beauty shops
- Business management services
- Domestic services
- Exhibition of films and video tapes
- Radio and television broadcasting
- Repair of footwear and leather articles
- Retail trade
- Sale of foods and beverages
- Sale of furniture and other household articles
- Sale of hardware and electrical appliances
- Sale of machinery for maintenance, industry, etc.
- Sale of textiles and clothing
- Sales of computers, supplies and equipment
- Technical support to authors, composers and artists
- Theatrical productions
- Watch, clock and jewelry repair

Group II: Small scale activities that may have some effects on the environment which can be controlled with appropriate mitigation measures

- Ecological sanitation (urine diverting toilets, arborloo latrines)
- Electrical repair shops
- Environmental education services
- Green (environmentally friendly) businesses
- Individual latrines including ventilated improved pit (VIP), composting latrines, dehydrating latrines, pour-flush latrines,
- Management and surveillance of national parks and reserves
- Medical, dental, paramedical, and veterinary services
- Nurseries and reforestation with native species
- Photographic studios, commercial photography
- Professional environmental and ecological services (waste collection, urban beautification)

- Protection of historical monuments

- Protection of public areas
- Public libraries, museums, botanical gardens
- Repair of motor vehicle, motorcycles, bicycles
- Restaurants, cafes, and other eating and drinking places
- Sale of containers and boxes
- Showers, clothes-washing basins, cattle troughs, hand washing taps for individual households
- Simple spring-fed gravity feed water distribution systems, well or surface water source pump with storage tank and piped distribution to stand posts or individual yard taps or connections,
- Small scale agro-processing
- Small scale animal feed manufacturing
- Small scale bakeries
- Small scale candles, matches manufacturing
- Small scale chocolate and sugar confectionery manufacturing
- Small scale clay pot manufacturing
- Small scale dairy manufacturing
- Small scale fish hatcheries of native species for repopulation of public watercourses
- Small scale fishery production
- Small scale fishing
- Small scale furniture manufacturing
- Small scale jewelry manufacturing
- Small scale meat sales
- Small Scale pond and spring improvements, hand-dug wells (requires water testing for new wells), small-diameter boreholes, wells with hand pumps, roof rainwater catchments
- Small scale renovation and refurbishing of homes, schools, office buildings, libraries
- Small scale soap, perfumes and cosmetics manufacturing
- Small scale soft drink manufacturing
- Small-scale septic and leach field systems
- Storage and warehousing

Group III. Activities expected to have potentially significant impact on the environment requiring an environmental scoping statement and an environmental assessment, both of which require BEO approval.

- Agricultural land leveling
- Agricultural machinery and equipment manufacturing
- Any activity relating to endangered species
- Batteries manufacturing and repairing
- Carpets and rugs manufacturing
- Cement, lime and plaster manufacturing
- Chemical products manufacturing
- Clay, china, porcelain objects manufacturing
- Containers and boxes of paper and paperboard manufacturing

- Cordage manufacturing
- Cutlery and general hardware manufacturing
- Distilling and rectifying of spirits
- Drainage projects
- Drugs and medicines manufacturing
- Electric equipment manufacturing
- Electrical appliances manufacturing
- Engines and turbines manufacturing
- Fertilizers and pesticides manufacturing
- Footwear, except rubber footwear manufacturing
- Fur dressing and dyeing
- Furniture and fixtures primarily of metal manufacturing
- Gas manufacturing and distribution
- Glass and glass products manufacturing
- Grain mill products manufacturing
- Hunting, trapping, repopulation
- Industrial chemicals, except fertilizers manufacturing
- Industrial machinery and equipment, except woodworking machinery manufacturing
- Industrial Plants
- Iron and steel basic industries
- Irrigation or water management
- Knitted fabrics manufacturing
- Large scale agricultural mechanization
- Machinery and equipment except electrical
- Medium and large scale agricultural production
- Medium and large scale water and sanitation projects
- Metal and woodworking machinery manufacturing
- Metal products manufacturing
- Motorcycles and bicycles manufacturing
- Musical instruments manufacturing
- New construction
- New lands development
- Nonferrous metal basic industries
- Nonmetallic mineral products manufacturing
- Paints, varnishes and lacquers manufacturing
- Paper and paperboard articles manufacturing
- Penetration road building or road improvement projects
- Pesticide use instruction, equipment procurement, or pesticide procurement and use
- Photographic and optical goods manufacturing
- Plastic footwear manufacturing
- Plastic products manufacturing
- Power plants

- Printing, publishing and allied industries

- Products of petroleum and coal manufacturing
- Pulp, paper and paperboard manufacturing
- Radio, television and communications equipment manufacturing
- Resettlement projects
- Resins and plastics materials manufacturing
- River basin development
- Rubber products manufacturing
- Sale of industrial minerals, metals, chemicals
- Ship building and repairing
- Sports goods manufacturing
- Straw hats manufacturing
- Structural clay products manufacturing
- Structural metal products manufacturing
- Tanning and dressing of leather
- Textiles (spinning, weaving, and finishing textiles, including bleaching and dyeing)
- Textiles manufacturing
- Textiles, except straw hats manufacturing
- Transport equipment manufacturing
- Vegetable and animal oils and fats manufacturing
- Veterinary medications manufacturing
- Wood and cork products manufacturing
- Wooden and cork containers manufacturing

RFA No. 167-11-004
Community Action Initiative Project in Kosovo

[END OF RFA 167-11-004]