



USAID | **ASIA**
FROM THE AMERICAN PEOPLE

Issuance Date: April 27, 2012
Closing Date: June 15, 2012
Closing Time: 4:00 pm local Hanoi, Vietnam time

Subject: USAID-Vietnam 440-12-023-RFA
Vietnam Forest and Deltas (VFD) Program

The United States Agency for International Development (USAID), is seeking applications (proposals for funding) from U.S. or non-U.S. non-governmental organizations (NGOs) and/or a consortia to provide technical support to accelerate Vietnam's transition to climate resilient, low emissions development through investments in reducing net emissions from forests, and enhancing resiliency of people, places, and livelihoods in the delta regions to short and long-term climate impacts. Please refer to the Program Description (RFA Section I) for a complete statement of goals and expected results.

Subject to the availability of funds, USAID plans to award one or more cooperative agreement(s) with a total estimated amount of approximately \$25,000,000 - \$30,000,000 for a program not to exceed five years (from on or about October 01, 2012 - September 30, 2017). USAID reserves the right to fund any, a portion of, or none of the applications submitted.

For the purposes of this Project, this RFA is being issued and consists of this cover letter and the following:

1. Section I Funding Opportunity Description;
2. Section II Award Information;
3. Section III Eligibility Information;
4. Section IV Application and Submission Information;
5. Section V Application Review Information;
6. Section VI Award and Administration Information;
7. Section VII Agency Contacts; and
8. Attachments Representations and Certifications

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www). This RFA and any future amendments can be downloaded from the website www.grants.gov. It is the responsibility of the Recipient of the application document to ensure that it has been received the RFA from www.grants.gov in its entirety.

Applicants may submit their applications electronically on www.grants.gov or by e-mail attachment formatted in Microsoft Word (up to 2 MB limit per email) and must also submit hard copies by the due date. Please see Section IV of the RFA for detailed instructions regarding submission of applications via email. Applications and modifications thereof shall be submitted with the name and address of the Applicant and the RFA number (referenced above) inscribed thereon, via email, to pvirasingh@usaid.gov and copied to pwilson@usaid.gov.

Applicants must confirm with Patrick Wilson/Praveena ViraSingh that their electronic submissions (either via grants.gov or via email) were successfully received by the required due date. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. An original and four (4) hard copies of the technical application, and an original and one hard copy of the cost proposal, must be sent to:

USAID/Vietnam
c/o U.S. Embassy
7 Lang Ha Street
Hanoi, Vietnam

Hard copies of submissions must arrive by the due date. It is recommended that Applicants use courier service instead of international mail for the hard copies. Applications will be accepted for consideration as long as they arrive at USAID/Vietnam by the time stipulated. See RFA Section IV regarding late applications.

Applicants are requested to submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Award will be made to that responsible Applicant(s) whose application(s) best meets the requirements of the RFA and the selection criteria contained herein.

Faxed proposals are not acceptable.

Issuance of the RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement(s) 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, and all preparation and submission costs are at the Applicant's expense.

In the event of any inconsistency between the sections comprising this RFA, it must be resolved by the following order of precedence:

- (a) Section V Application Review Information
- (b) Section IV Application and Submission Information
- (c) Section I Funding Opportunity Description
- (d) This Cover Letter

Applicants should take into account the expected delivery time required by the proposal transmission method they choose, and are responsible to ensure that the electronic copies are sent to the right email address and the hard copies of the proposals are received at USAID/Vietnam, (and not at another location) by the due date and time specified above.

Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in USAID/Vietnam programs and activities.

Sincerely,

/s/

Patrick Wilson
Regional Agreement Officer
USAID/RDMA, Bangkok

TABLE OF CONTENTS

SECTION I: FUNDING OPPORTUNITY DESCRIPTION	4
1. PROGRAM DESCRIPTION	4
SECTION II: BASIC AWARD INFORMATION.....	20
1. ESTIMATED FUNDING.....	20
2. PERFORMANCE PERIOD	20
3. AWARD TYPE	20
4. AUTHORITY TO OBLIGATE THE GOVERNMENT	20
SECTION III: ELIGIBILITY INFORMATION.....	21
SECTION IV: APPLICATION SUBMISSION INFORMATION	22
I. PREPARATION GUIDELINES	22
II. TECHNICAL APPLICATION FORMAT	23
III. COST APPLICATION FORMAT	29
SECTION V: APPLICATION REVIEW INFORMATION	32
SECTION VI: AWARD and ADMINISTRATION INFORMATION	36
A. AGREEMENT AWARD.....	36
B. RELEVANT POLICY AND REGULATORY REFERENCES	36
C. GEOGRAPHIC CODE.....	37
D. U.S. EXECUTIVE ORDERS AND LAW REGARDING TERRORISM	37
E. FOREIGN GOVERNMENT DELEGATION TO INTERNATIONAL CONFERENCES.....	37
F. SALARY SUPPLEMENTS	37
G. UNSUCCESSFUL APPLICATIONS	37
H. NON-FEDERAL AUDITS.....	37
I. BRANDING STRATEGY AND MARKING PLAN	37
J. USAID DISABILITY POLICY – Assistance (December 2004)	38
K. STANDARD PROVISION: EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (December 2009).....	38
L. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010).....	39
M. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)	40
N. TRAFFICKING IN PERSONS (OCTOBER 2010).....	42
SECTION VII: AGENCY CONTACTS.....	45
ATTACHMENT 1: CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT	46
PART I - CERTIFICATIONS AND ASSURANCES.....	46
PART II - OTHER STATEMENTS OF RECIPIENT.....	51
PART III - OTHER CERTIFICATIONS	56
1. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS	56
2. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING	58
3. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING	59
4. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES	59
5. CERTIFICATION REGARDING LOBBYING	61
6. SURVEY on ENSURING EQUAL OPPORTUNITY for APPLICANTS	62

SECTION I: FUNDING OPPORTUNITY DESCRIPTION

1. PROGRAM DESCRIPTION

I. PROGRAM OVERVIEW

The primary purpose of this program is to accelerate Vietnam's transition to climate resilient, low emissions development through investments in reducing net emissions from forests, and enhancing resiliency of people, places, and livelihoods in the delta regions to short and long-term climate impacts.

The program will primarily invest in provincial and district level demonstration and capacity building, and share lessons learned to inform national policies and implementation. In this way, USAID intends to have a catalytic role, paving the way for scaled up impact.

USAID anticipates that the program will be implemented in close consultation and in support of priorities of the relevant Government of Vietnam ministries and departments at the national and local level. The Ministry of Agriculture and Rural Development and the Ministry of Natural Resources and Environment will be particularly important partners, as will provincial and district authorities.

In addition to GVN partners, the program seeks to enhance the capacities of Vietnamese NGOs to be active partners with USAID. We expect the successful Recipient to implement proactive transition support toward increasing responsibilities of, and handover to, Vietnamese partner organizations.

Success of this program will be judged by the extent to which emission reductions and increased climate change resiliency are achieved within the project time period, state-of-the-art capacities are transferred to Vietnamese counterparts, and policies and practices are put in place that will facilitate a long-term path toward climate resiliency and low emissions development.

II. BACKGROUND

II.a Country Context

Vietnam is widely cited as one of the five countries in the world most vulnerable to climate change. The Government of Vietnam (GVN) increasingly views climate change as one of its central development challenges. Vietnam's large population centers and key agricultural sectors are exposed to rising sea levels and increased storm risks in low-lying deltas and on its long coastline. On average, six to eight typhoons or tropical storms strike Vietnam annually. Increasing temperature and worsening droughts and floods threaten food security, livelihoods, and lives. Adaptation and disaster risk reduction measures will be central to Vietnam continuing its progress toward industrialization and an expanding middle class.

As Vietnam develops, its greenhouse gas emissions from industry, energy production, transportation, and agricultural production are increasing. Vietnam's forests remain under pressure and their deforestation and degradation are a source of emissions, while restoring them offers opportunities to sequester carbon. Vietnam is a relatively small emitter now, but under business-as-usual development pathways, projected future emissions are significant. A cleaner development path offers opportunities for economic growth and improved standards of living due to a healthier environment, while contributing to global reductions in greenhouse gases.

Taken together, these mitigation and adaptation challenges point toward the need to promote, demonstrate, and accelerate the transition to climate resilient, low emissions development in Vietnam. The Forests and Deltas program will address both forest-related emissions, and delta adaptation and disaster risk reduction because they share a common focus on improved land and water management.

The country's two major river basins, the Mekong and Red River, are especially at risk to the impacts of climate change, and the livelihoods of farmers and fishers are particularly vulnerable. Shifting climate conditions like heavy rains, flood, and prolonged drought already create significant stress in the system and can trigger natural disasters. In the last few years, Southeast Asia has experienced both droughts and floods of record. Sea level rise of one meter, a plausible scenario for 2100, would inundate approximately 38% of the Mekong Delta. The Red River Delta is part of the country's second-largest river system after the Mekong, but is even more densely populated and highly developed. Much of the delta is lower than one meter in elevation, and dikes and canals provide flood control that is critical to the culture and economy, particularly rice production, fishing and aquaculture.

Forests are both a source and a sink of emissions in Vietnam. Historically, Vietnam had high forest cover, but legal and illegal harvesting reduced natural forest cover substantially. A government effort to create protected areas and implement large-scale reforestation programs has increased forest cover, but data show less success at reducing forest degradation and deforestation. Deforestation has historically been driven by expansion of rubber and coffee plantations, combined with timber harvest for multiple uses including furniture. Improved forest management has not kept pace with rising demands for forest products, with plantations only providing 30% of the needed wood for the booming furniture industry. As a result, Vietnam annually imports about \$1 billion worth of timber. Much of this is imported from Laos and Cambodia, effectively displacing deforestation and associated emissions to neighboring countries.

The Government of Vietnam has been proactive in advancing disaster risk reduction and climate change policy. The "National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020" was adopted in 2007. The 2008 "National Target Plan for Climate Change" focused largely on adaptation. It prioritized water, agriculture, marine and coastal systems as most sensitive, and in particular prioritized the need for adaptation action in the Mekong and Red River Deltas. In December 2011, the Vietnamese Prime Minister ratified the "National Strategy for Climate Change Adaptation", which reaffirmed the centrality of adaptation but also gave added emphasis to reducing greenhouse gas emissions as part of green growth. A draft framework of Vietnam's "Green Growth Strategy" is expected to be ready for submission to the Prime Minister in June 2012.

The GVN has also put in place strong policies on forests. It recently announced the completion of the "5 million hectares" reforestation plan. Vietnam has also put in place two innovative approaches to conserving and restoring forests. After seeing the success of a USAID-supported pilot program on Payments for Forest Ecosystem Services (PFES), the government instituted a national PFES policy to be tested in 13 provinces. Under this scheme, downstream hydropower producers, municipal water users, and ecotourism operators pay for upstream forest protection and restoration. Vietnam is also a leading country in promoting Reduced Emissions from Deforestation and forest Degradation and enhanced carbon stocks (REDD+), with pilot efforts beginning in a number of provinces.

In forestry, adaptation, and disaster risk reduction, many of the remaining challenges relate to implementation on the ground. Existing policy frameworks need to be tested and elaborated through pilot implementation. Capacity for local planning and implementation needs to be built, and the lessons from local actions fed back into the national policy process. Related to the challenge of implementation is the need for capacity building to support integration of climate change across development sectors. Mainstreaming climate change responses into Vietnam's sustainable development agenda is the only way to meet the scale of the climate change challenge.

II.b USAID and the Global Climate Change Initiative (GCCII)

President Obama and the United States Government (USG) committed to supporting the goals of the Copenhagen Accord and Cancun Agreement, and made global climate change a top priority for foreign policy as well as foreign assistance. USG climate change assistance is meant to demonstrate USG commitment to helping developing countries respond to climate change impacts and begin taking emission reduction actions. Reflecting the importance of USG climate change objectives, USAID released its Climate Change and Development Strategy in January 2012. (see http://www.usaid.gov/our_work/environment/climate/index.html)

The Strategy aims to accelerate the transition to low-emission development through investments in clean energy and sustainable landscapes, increase the resilience of people, places, and livelihoods through investments in adaptation, and

strengthen development outcomes by integrating climate change into Agency planning, policies, and development programs. USAID's climate change priorities fall into three pillars:

Clean Energy: Includes activities that reduce emissions of greenhouse gases in the energy, industry, urban, and transport sectors;

Sustainable Landscapes: Includes activities that reduce emissions from deforestation and forest degradation and increase sequestration by forests, emphasizing integrated landscape management approaches; and

Adaptation: Includes activities where climate vulnerability and adaptation are an explicit part of project analysis and design.

As part of the Global Climate Change Initiative, the USG also supports the Enhancing Capacity for Low Emissions Development Strategies (EC-LEDS) program. Through the EC-LEDS program, the USG supports capacity building for the development and implementation of national strategic plans on climate change, which will lead to significant reductions in greenhouse gas emission trajectories over the long term, relative to established baselines.

II.c USAID/Vietnam Climate Change Strategic Framework

USAID climate change activities in Vietnam contribute to achieving USAID/Vietnam's climate change program goal and intermediate results (IRs):

Goal: Accelerate Vietnam's transition to climate resilient, low emission sustainable development.

IR 1: Enhance capacity for economy-wide low emission development strategies

IR 2: Strengthen the foundation for low emissions energy systems

IR 3: Support adoption of land use practices that slow, stop and reverse emissions from deforestation and degradation of forests and other landscapes

IR 4: Increase resilience of people, places and livelihoods in delta areas through assistance for adaptation and disaster risk management.

II.d USAID Climate Change Programs in Vietnam

The Vietnam Forests and Deltas cooperative agreement (CA) established from this RFA will be the primary implementing mechanism for IR 3 and IR 4. To complement the CA, USAID/Vietnam coordinates technical assistance activities of a larger set of climate change activities with which the Recipient must cooperate as appropriate, including:

EC-LEDS MOU: Vietnam was one of the first countries invited to participate in the USG program on Enhancing Capacity for Low Emission Development Strategies (EC-LEDS). On March 21, 2012 the USG and GVN signed an MOU on LEDS cooperation that identifies the following areas for cooperation: donor coordination; national greenhouse gas inventory system; systems to collect, archive, and distribute economic and emissions data; agriculture, land use, land use planning, and forestry emissions modeling; and energy, industry, construction or transport modeling and policy analysis. In addition to describing specific collaborative tasks, the MOU enhances the cooperative relationship between the two governments on climate change mitigation. As relevant, the Recipient must coordinate with USAID EC-LEDS partners and programs, including the International Food Policy Research Institute (IFPRI), the United States Forest Service (USFS), the Department of Energy National Labs (DOE Labs), the United States Environmental Protection Agency (USEPA), the Low-Emissions Asian Development (LEAD) project, and the Analysis and Investment for Low-Emission Growth (AILEG) program. This will include participation in relevant EC-LEDS events, sharing lessons learned, and proactive development of synergistic programming.

Lower Mekong Initiative: The Lower Mekong Initiative is a partnership among the United States and the four countries of the lower Mekong region (Vietnam, Thailand, Cambodia, Laos) to promote regional cooperation. LMI has four pillars: education, infrastructure, environment, and health. Because Vietnam is the chair of the environment pillar, USAID/Vietnam will seek opportunities to support their regional leadership, particularly as it relates to climate change. The Recipient must, at a minimum, provide lessons learned, success stories and results, and other information to USAID and the GVN in a manner and timing that allows them to be shared at regional LMI fora. In addition, the Recipient, with USAID concurrence, may develop more targeted activities that help Vietnam in its LMI leadership role. It is very important that the GVN and USAID be engaged early in any design process to ensure country ownership of activities.

SilvaCarbon: SilvaCarbon is a global program that brings U.S. science, innovation and technical expertise to assist developing countries in monitoring and managing forest and terrestrial carbon. The program aims to compare forest and terrestrial carbon measurement and monitoring methodologies, build capacity of selected developing countries, facilitate the collection and dissemination of earth observation data, and strengthen the community of forest and terrestrial carbon technical experts. SilvaCarbon has begun consultations with the GVN to design a comprehensive set of activities consistent with its objectives and GVN needs. The Recipient may find it useful to draw upon the expertise available through SilvaCarbon.

Lowering Emissions in Asia's Forests: LEAF is a regional technical assistance program that supports actions to reduce deforestation and forest degradation in the Asia region through: strengthening capacities to sustainably manage forest resources; improving policies for reduced emissions; demonstrating sustainable land management practices; and replicating successes through regional learning networks. The program works primarily in the Lower Mekong countries, as well as Malaysia and Papua New Guinea. In Vietnam, LEAF is focusing on demonstration activities in Nghe An and Lam Dong provinces, and linking these experiences to national policy development and regional learning platforms. The Recipient will need to coordinate with LEAF, particularly on national capacity building and policy support.

ADAPT Asia-Pacific: The Asia-Pacific Climate Change Adaptation Support Facility (ADAPT Asia-Pacific) responds to key priorities in the region in providing capacity building and governance support to increase access to funding for climate change adaptation projects. This program will: (i) strengthen human and institutional capacity to prepare high-quality climate change adaptation investment proposals; (ii) accelerate and ensure sustained access to financial resources for climate change adaptation investment projects; and (iii) support and strengthen a regional knowledge platform to share and replicate best practices. The program will also help develop specific curricula in regional institutions to address gaps in capacity identified by national governments and key stakeholders. The Recipient may explore possible collaboration with ADAPT Asia-Pacific on adaptation financing.

Mekong ARCC: The Mekong Adaptation and Resilience to Climate Change (Mekong ARCC) Program will increase communities' adaptive capacity and resilience to the negative impacts of climate change. Activities include scientific research to identify crops and ecosystems that are the most vulnerable to climate change, on-the-ground actions to test resilient strategies for varying cropping and ecosystems, ecosystems valuation studies, scaling up community/ecosystem based investment projects and regional knowledge sharing. The community-based adaptation projects will integrate multiple concerns, including water supply, sanitation, agriculture, food security, ecosystems, biodiversity, livelihoods, and disaster risk reduction for at-risk populations. The Recipient's activities are likely to address similar concerns as Mekong ARCC, suggesting that close consultations and sharing of technical information and approaches should be useful.

Climate Resilient Mekong: The project seeks to improve decisions on the siting, design and operation of the dams in the Mekong/Lancang River Basin to counteract the effects of climate change, with particular attention to sediment management through reservoirs. The project will work with the riparian lower Mekong countries to improve capacity of the national hydrologic research institutions to evaluate options for siting, designing, and operating dams by building knowledge of the alternatives for the siting, and operation of dams to preserve ecosystems, food production, and livelihoods in an era of climate change.

U.S. Government agencies: Several USG agencies are active in Vietnam. The U.S. Geological Survey, through its partnership with the DRAGON Institute at Can Tho University, provides training in delta management, remote sensing, hydrological assessments and other areas. They also participate in joint research activities. The US Forest Service will also be active in Vietnam with USAID support. The USFS will bring its expertise in forest management, climate change

adaptation and mitigation, and disaster risk reduction and response. The Recipient must actively collaborate with these programs, with the assistance of USAID, to identify synergistic assistance opportunities.

III. PROGRAM GOALS

The goal of the Vietnam Forests and Deltas activity is **to help accelerate Vietnam's transition to climate resilient, low emission sustainable development**. USAID seeks applications that will deliver a strategic contribution toward achieving this goal. Specifically, programs must achieve all of the following:

Demonstrate near-term reductions in net emissions from forests; and
Reduce risks associated with both near-term and long-term climate change impacts; and
Enhance capacity of stakeholders and institutions to make systemic changes that accelerate the transition to more resilient, low emission development; and
Achieve the above three results in ways that are economically, socially and institutionally sustainable.

The Recipient will contribute to the goal of climate resilient, low emission sustainable development by achieving two Intermediate Results (IRs). The IRs aim to a) support adoption of land use practices that slow, stop, and reverse emissions from deforestation and degradation of forests and other landscapes; and b) increase resilience of people, places and livelihoods in delta areas through assistance for adaptation and disaster risk management.

III.a Objectives

IR 3: Support adoption of land use practices that slow, stop and reverse emissions from deforestation and degradation of forests and other landscapes

The GVN has put in place ground-breaking policies and programs on Payments for Forest Ecosystem Services (PFES), Reducing Emissions from Deforestation and forest Degradation and enhancing carbon stocks (REDD+), and reforestation, with the goal of increasing national forest cover. Considerable progress has been made on increasing forest cover through reforestation, but deforestation and forest degradation continue at unacceptable levels. The challenge now is to demonstrate integrative approaches that reduce emissions from forest loss and increase carbon storage in biodiversity-friendly, high-quality forest cover. To achieve economic sustainability, this needs to be supported by multiple economic benefit streams, like carbon payments, watershed services payments, and sustainable forest products harvesting. Central to this approach will be landscape level management, planning, and accounting; broad stakeholder engagement; attention to equity; and demonstration and monitoring of effective techniques for forest protection and restoration.

Activities in support of this IR must focus on landscape-level field demonstrations in one or more provinces, complemented by national engagement on supportive policies and capacities. Activities must help Vietnam make progress toward administrative unit accounting (i.e. district or provincial boundaries). After award of the CA, the successful Recipient will propose geographic locations, to be approved by USAID in consultation with the GVN.

IR 4: Increase resilience of people, places and livelihoods in delta areas through assistance for adaptation and disaster risk management.

Climate change adaptation and disaster risk reduction are top development priorities for the GVN, demonstrated by the early adoption of the National Target Plan for Climate Change, the recent national Climate Change Adaptation Strategy, and National Strategy for Natural Disaster Prevention, Response and Mitigation to 2020 adopted in 2007. The central challenge now is to demonstrate how to achieve progress at the field level on enhanced resiliency and reduced risk, and to demonstrate how to incorporate these concerns into sectoral plans and actions at different levels of government. Achieving these goals requires robust stakeholder engagement, access to scientific information and locally-specific data, in-depth local-level planning, capacity building of sectoral staff on climate change adaptation issues, and demonstration of good practices and effective technologies to reduce climate risks.

Activities in support of this IR must primarily be field-based and centered on district and province-level interventions, combined with demonstrations of technologies and practices at community- and local-level. The program must also

engage at national level on supportive policies and capacities, particularly in terms of mainstreaming climate change into GVN sectoral departments. The geographic focus must be on the Mekong and Red River delta regions, with at least half of the level of effort in the Mekong. After award of the CA, the Recipient will propose geographic locations, to be approved by USAID in consultation with the GVN.

III.b Guiding Principles

Technical soundness and effectiveness: The success of this program depends on identifying and using good practices gleaned from years of development experience combined with innovations in technology and approaches. Proposed activities should be feasible, technically sound, and represent good practice. The proposal should support innovations and the use of science, with a focus on scale of impact and demonstration of clear results. Work should be consistent with the emerging policy environment while also shaping and improving that environment where needed to achieve results.

Sustainability: Sustainability is particularly important to this program. *Economic sustainability* implies, for example, that forest and land management are supported by multiple financial and economic benefit streams that emphasize domestic support and provide incentives to all the actors that influence land management. *Social sustainability* implies, for example, that adaptation and disaster risk reduction actions are identified, planned, and implemented in a way that involves all impacted stakeholders, including those who are not normally engaged, such as women, youth, and marginalized persons. *Institutional sustainability* implies, for example, that existing capacities in local government or Vietnamese NGOs are used and enhanced, with increasing hand-over of project leadership to local institutions.

Capacity building: USAID seeks to support proven methods for achieving lasting capacity enhancements. Vietnam has a shortage of individuals trained in climate change, so this program must include a focus on human capacity enhancement through training, coaching, and learning-by-doing. At the same time, the capacity building approach must seek to build capacity not just of individuals, but of local organizations or government agencies that can train and house a cadre of experts in use of tools and methodologies needed for robust climate change programming.

Political commitment: Both short and long term success will only be achieved if governmental institutions at all levels have been consulted and involved in meaningful ways. Applications should present a robust strategy for how political commitment from local and national government will be secured, maintained, and enhanced.

Gender and Youth: Gender sensitive approaches must be used and youth must be engaged. Women often possess special skills and experiences relevant to climate change, especially knowledge of local ecosystems, agriculture and natural resources management. They hold great potential as entrepreneurs in clean technology and ecofriendly enterprises. Numbering about 1.5 billion worldwide, youth represent a global force for change and are increasingly on the frontlines of global change. The program should reach out to engage youth as thought partners and build a dialogue with youth constituencies regarding climate change.

Coordination and Collaboration: There are many donors supporting climate change in Vietnam, including regional and global USAID activities that have components to assist Vietnam. The successful program must be designed to take advantage of synergies with other programs, fill gaps, and adjust as needed. In particular, the Recipient must coordinate and collaborate as appropriate with other relevant USAID-supported activities.

III.c Expected Results

The program's activities should generate the results outlined below, with level of effort allocated equally between the two IRs.

3.4.1 Support Land Use Practices that Slow, Stop and Reverse Emissions from Deforestation and Degradation (IR 3)

As explained above in section 3.2 Objectives, IR 3 seeks to demonstrate effective, integrative, landscape-scale reductions in net emissions from forests. Notably, the program is intended to move beyond projects and rather focus on

administrative units, demonstrating scalable, cost-efficient approaches. To make progress toward accomplishing results under IR 3, the program must focus on three sub-intermediate results (sub-IRs) that establish governance capacity, build a sustainable financial base for improved land use, and achieve net emission reductions from forests.

Sub-IR 3.1: GVN establishes effective governance systems and capacity

Improved forest management depends on capacities and systems that support inclusive, effective, science-based decision making. Below are outlined four expected results that together enable capacity for governance and implementation. The Recipient may also identify additional results necessary to achieve the sub-IR.

Result: Local governments use land use planning in decision making. Reducing forest loss and increasing high-quality forest cover require landscape-scale understanding and actions to meaningfully, and efficiently, address the drivers of land use change. Land use planning provides a systematic way to combine a multitude of factors, identify goals, and monitor progress.

Result: Climate change impact and adaptation analyses used in planning. Climate changes and expected impacts need to be integrated into mitigation options analysis to make sure that actions will be sustained under future climate conditions. Ideally, emission-reducing actions in forests will be designed to deliver adaptation co-benefits, such as regulated water flows, improved microclimates, and diversified livelihoods.

Result: Effective and broad-based consultation demonstrated. The complexity of land use requires comprehensive consultations, including with those normally excluded, like women, youth, and marginalized persons. Consultations should deliver a sense by participants that their contributions were seriously taken into consideration. The resulting decisions should be seen as legitimate and respectful of people's rights.

Result: Vietnamese NGOs have capacity to receive direct support from USAID. As part of enhancing aid effectiveness, USAID Forward reforms require more direct partnerships between USAID and local NGOs. NGOs need capacity in areas like financial and organizational management and delivering and monitoring results. The Applicant must describe an approach, including timeline and targets, to identify, mentor, and train local NGOs to have the capacity to meet financial, management, and reporting requirements for direct USAID financial support. The Applicant's approach should also describe illustrative program implementation activities that Vietnamese NGOs can accomplish with direct USAID support, either through contracts or grants, and specify timeline and targets for handing over these activities to local NGOs. The Recipient must coordinate closely with USAID to facilitate the transition of implementation responsibilities and direct USAID funding to local NGOs.

Sub-IR 3.2: GVN builds a sustainable financial base for improved land use

Evaluations of natural resource management projects have identified finance and economics to be fundamental determinants of success. Traditional community forest and co-management arrangements have been successful to the extent that they generated economic benefits for local natural resource users, including more intangible benefits like resource rights. Newer arrangements like REDD+ and PFES policies are intended to deliver financial flows that make maintaining and restoring forests more competitive to other land uses like agriculture. Below are outlined three expected results that together enable a sustainable financial base for improved land use. The Recipient may also identify additional results necessary to achieve the sub-IR.

Result: Multiple financial streams and benefits harnessed and bundled. It is increasingly recognized that the level of financial support available from REDD+ carbon credits will not be sufficient to compete with high value agricultural land uses. Bundling ecosystem services and payments, including PFES and forest product harvesting, may provide sufficient incentive to maintain and increase forest carbon stocks. Achieving this result will be a very important proof-of-concept, requiring cutting-edge accounting, monitoring, and implementation methods.

Result: Land-based carbon accounting approach demonstrated. In the current UN climate change negotiations on REDD+, two possible approaches to accounting for net reductions in forest-related emissions are being discussed. One approach assumes activity-based accounting, similar to that used for Kyoto Protocol CDM projects. The other involves

land-based accounting that estimates total emissions and sequestration associated with a piece of land. Demonstrating land-based accounting is important as it holds the promise of reducing costs and increasing environmental integrity.

Result: Equitable benefit sharing system established. Natural resource finance only works if it reaches the people who have an influence over the resource. Money, distributed improperly, can generate conflicts and exacerbate inequalities. Alternatively, benefits can be distributed in such a way that they improve the lives of the most vulnerable community members, including women. It is important to identify and establish robust systems to ensure that economic benefits and financial flows go to the right people. Achieving this may involve helping people understand their formal and informal resource rights, supporting conflict resolution systems, and identifying possible reforms.

Sub-IR 3.3: GVN and local communities take actions that demonstrate net emission reductions from forests

In addition to putting in place governance and economic systems that will generate long-term results, it is important to show progress in the immediate timeframe. This sub-IR is intended to demonstrate good practices in reducing net emissions from forests. Below are outlined three expected results that together demonstrate a range of ways to reduce forest-related emissions. The Recipient may also identify additional results necessary to achieve the sub-IR.

Result: Deforestation and forest degradation reduced. There are a variety of specific actions that, combined with the governance and incentives under sub-IRs 3.1 and 3.2, will reduce deforestation and forest degradation. Measures can include forest patrolling by communities or local government, forest fire monitoring and control, illegal logging checkpoints and anonymous tip lines, community forest management, provision of alternative or improved cookstoves, ecotourism, low-impact logging, etc.

Result: Biodiversity-friendly forest carbon stock enhancements demonstrated. Vietnam has followed a very aggressive policy of reforestation, with impressive increases of forest cover. However, these forests do not always deliver the desired productivity in terms of timber, biodiversity, or watershed services. There is a need to demonstrate natural regeneration, mixed native species, and other types of approaches that will deliver high-carbon stock, high-value, multiple-use forests.

Result: Drivers of deforestation and degradation addressed through private sector engagement. Private sector companies drive land use change in many parts of the country, ranging from mining and hydropower to coffee, tea, and other crops. There are many opportunities for partnerships on topics like protection of hydropower watersheds; production of organic, biodiversity-friendly coffee; green-value chains; Lacey Act-compliant timber; etc. The Recipient should seek to create one or more public private partnerships that deliver net emission reductions and are synergistic with the other components of this program.

3.4.2 Increase Resilience of People, Places and Livelihoods in Delta Areas (IR 4)

As explained above in section 3.2 Objectives, IR 4 seeks to demonstrate how to achieve progress at the field level on enhanced climate resiliency and reduced risk from climate-related natural disasters, and to demonstrate how to incorporate these concerns into sectoral plans and actions at all levels of government. The program must be implemented in the Mekong and Red River deltas. The Mekong, as the most vulnerable geography in Vietnam, must receive at least half of the level of effort of this program. IR 4 activities are also part of the USG contribution to the Lower Mekong Initiative. The delta activities should embody the spirit of the GVN strategy “Living with Floods” by seeking solutions that maximize ecosystem resilience.

To make progress toward accomplishing results under IR 4, the Recipient must focus on three sub-intermediate results (sub-IRs) that, respectively, establish capacity for action planning, take actions to reduce impacts of natural disasters, and take actions to build resilience to long-term climate changes.

Sub-IR 4.1: GVN establishes systems and capacity for adaptation and disaster risk reduction action planning

The technical approach taken under IR 4 relies on broadly consultative, development-driven, data- and analysis-based, action planning that identifies priorities, analyzes options, and mobilizes stakeholders to take action. Rather than voluminous technical reports, the process should result in concise, specific, and achievable actions that specific

stakeholders have agreed to implement to support local development priorities. The process should also lead to incorporation of these actions into sectoral and cross-cutting development plans, such as land use or other spatial plans. The Recipient must identify local partner(s) that can facilitate local buy-in and perceived legitimacy of the process and outcomes. Below are outlined five results that together will build local capacity to deliver this type of action planning outcome. The Recipient may also identify other results necessary to achieve the sub-IR.

Result: Effective broad-based stakeholder consultations demonstrated. Stakeholder consultation processes should be designed to build motivation among key actors for action – using techniques like Appreciative Inquiry, USAID’s SCALE approach, and other techniques for social change. In addition, the meaningful involvement of those most vulnerable, such as women, the poor, and marginalized, will be required. Ultimately, local governments and agencies should formally adopt consultation processes as a result of these successful demonstrations.

Result: Accurate information on short and long-term weather and climate risks is used in local decision making processes. Weather and climate information, specific to local circumstances, is important to understanding short and long-term risks and viable response options. Information needs to be presented in a manner that decision-makers can understand and use, taking into account their language, education, and background. Information should also be consistent with the decision-making context, for example, the frequency of decisions (every 50 years, 20 years, annually, seasonally, 10 days, or daily), the relevant geographic scale of information, and certainty of information required, among other factors. The desired result is decision making based on sound weather and climate information and the incorporation of adaptation and risk reduction measures into local planning and decision making.

Result: Adaptation and disaster risk reduction actions that yield net emission reduction co-benefits are identified and promoted. Many adaptation actions have consequences for emission reductions. For example, improved water management in rice paddies can reduce freshwater demand, and also reduce emissions of methane. The program should support estimation of mitigation potential and the use of that information in local decision making. Where the program interventions result in adoption of emission reducing, adaptive practices, the results must be estimated and reported according to USAID’s standard CO2 indicator.

Result: Climate change adaptation and disaster risk reductions actions are mainstreamed into sector planning at the national and local levels. Because climate change affects nearly every sector of development, climate risks and adaptive practices need to be mainstreamed into sectoral analyses and plans. This requires skills and knowledge development, access to information and analyses, and political will. In line with the focus of this program, sectors and agencies related to land use and agriculture are likely to be most relevant, but the Recipient may propose other sectors, such as health, to take advantage of opportunities and synergies.

Result: Vietnamese NGOs have capacity to receive direct support from USAID. As part of enhancing aid effectiveness, USAID Forward reforms require more direct partnerships between USAID and local NGOs. NGOs need capacity in areas like financial and organizational management and delivering and monitoring results. The program must include an approach, including timeline and targets, to identify, mentor, and train local NGOs to have the capacity to meet financial, management, and reporting requirements for direct USAID financial support. The approach should also identify illustrative program implementation activities that Vietnamese NGOs can accomplish with direct USAID support, either through contracts or grants, and specify timeline and targets for handing over these activities to local NGOs. The Recipient must coordinate closely with USAID to facilitate the transition of implementation responsibilities and direct USAID funding to local NGOs.

Sub-IR 4.2: Local governments and communities take actions to reduce the impacts of natural disasters like floods and storms

The delta regions of Vietnam face recurring climate-related natural disasters, in particular floods, droughts, and storms. At the same time, seasonal inundations of fresh water are essential to pushing back saltwater intrusion and providing sediments that maintain agricultural productivity and help accrue land height in the face of subsidence and sea level rise. Delta communities need to find practical ways to adapt themselves to live with floods, while reducing the impacts of extreme events and natural disasters. Below are outlined three expected results that represent actions local governments and communities in the deltas can take to better manage and reduce risks from natural disasters. These actions are very

likely to be included in the local action plans developed under Sub-IR 4.1. Depending on how the action planning process unfolds, the Recipient should be flexible about the types of disaster risk reduction actions supported under this Sub-IR, and may propose alternative results and actions.

Result: Local government leaders and communities receive appropriate disaster early warnings in a timely manner. Appropriate early warning in a timely manner can be the difference between life and death, and allow time to protect economic assets. An integrated early warning system that effectively links community members with national, sub-national and local systems is essential. Activities that contribute to improving community early warnings include involving local communities in the early warning process, supporting a multi-hazard approach, and increasing awareness and understanding of warnings, risks and responses. Also, using readily available local technologies like cell phones and local radio networks can improve early warnings. Drills and simulations with local government leaders and agencies can help link early warning systems to implementation of disaster response plans.

Result: Practical measures for disaster-resistant housing demonstrated. Delta communities have adapted to storms and floods with traditional designs like raised or floating housing. Newer technologies and construction techniques can further reinforce these approaches to deal with the ever-higher floods and more intense storms expected from climate change. Many effective techniques have been tested in Vietnam. Learning from these, supporting demonstrations at the community level, and training construction companies and contractors can contribute to promoting disaster-resistant housing.

Result: Practical measures for disaster-resistant household water supplies demonstrated. Clean water for household use is not always a given, particularly in delta regions where surface water may be polluted and well water threatened by saltwater intrusion. Natural disasters compound these problems by disrupting water supply pipes and releasing pollution and sediments. Water supply systems can be evaluated for current quality and future risks. Flood resistant water supply measures, such as rainwater harvesting and local aquifer recharge, may be demonstrated or introduced by training construction companies and contractors.

Sub-IR 4.3: Local governments and communities take actions to build resilience to long-term climate changes

Communities in the deltas face a number of long-term climate trends, especially sea level rise and associated impacts like saltwater intrusion, coastal erosion, and more damaging storm surges. This is compounded by fundamental changes to delta water and sediment flows as a result of current and planned hydropower dams and existing canals. Addressing these impacts requires detailed analysis, long-term planning, innovative policies, and demonstration of adaptive practices. Below are outlined five results that represent actions local governments and communities in the deltas can take to increase resiliency of their communities and livelihoods to long-term climate changes. Some of these results are written broadly to allow flexibility to respond to the outcomes of the action planning process under Sub-IR 4.1. Depending on how the action planning process unfolds, the Recipient should be flexible about the types of adaptation actions supported under this Sub-IR, and may propose alternative results and actions.

Result: Land use plans and zoning adopted to direct development away from high-risk locations. More than other parts of Vietnam, the deltas and particularly the Mekong delta, face the reality that large geographic areas may become unsuitable for human settlement and economic activities. High-resolution geographic risk mapping can identify these locations. Local leaders, supported by national leaders, can develop and adopt land use plans and zoning that direct development away from areas threatened by sea level rise, saltwater intrusion, storm surges, floods, and other impacts. These plans can also identify areas of very high economic value that need to be protected, even though they are at high risk. Ideally, these plans would also result in lower greenhouse emissions in the future by promoting, for example, higher density settlements.

Result: Policies demonstrated that create incentives for development in lower-risk locations. To implement the land use and zoning plans, positive policies can be used to direct development to lower-risk locations. These might include special economic zones, proactive provision of road and utility infrastructure, tax incentives, land titling assistance, etc. The Recipient should identify locations where these types of policies could be effective, and then advance the policy development, adoption, implementation, and enforcement. The Recipient must implement an approach to promote the rights and livelihoods of the most vulnerable members of society, who are often relegated to higher-risk localities, have a

harder time accessing and taking advantage of opportunities created by new policies, and may be exploited under the pretense of policy enforcement.

Result: Analyses and implementation plans completed for watershed and floodplain restoration, and infrastructure investments, to reduce salinity intrusion, flood damage, and erosion. There is a broad set of management tools available to address sea level rise in deltas, ranging from hard infrastructure (dikes, sea walls, sluice gates) to soft infrastructure (mangrove and marsh restoration) to management practices (dam and water use management for aquifer recharge and maintenance of in-stream water and sediment flows). Based on experience in other countries, softer interventions that emphasize restoring ecosystem and hydrologic function should be the backbone of the approach, with hard infrastructure selectively used where it emerges as cost-effective and sustainable. Support should be provided to the GVN at national and local level for in-depth hydrologic and economic analysis and then for the process to develop long-term strategies and prioritized near-term actions. Support should include assistance with preparing finance-able plans, identifying sources of finance, or partnering with other programs that can assist with finance issues.

Result: Water resource and land management practices adopted to reduce salinity intrusion, flood damage, and erosion. It is important to begin demonstrating near term actions on water and land management that are identified in strategies and action plans. The program should support implementation of the softer interventions like mangrove and marsh restoration, irrigation and surface water management changes, and improved aquifer management.

Result: Climate change resilient agricultural practices adopted. Agriculture is the biggest economic activity of the Mekong delta, and also a very large activity in the Red River delta. Agriculture is highly affected by climate changes such as temperature increase, precipitation amounts and timing, flood events, droughts, and saltwater intrusion. Based on opportunities and priorities identified by local government and communities in the action planning process supported under Sub-IR 4.1, more resilient agricultural practices should be promoted. This may include dissemination and adoptions of climate-smart practices for grains, vegetables, tree crops, aquaculture, and/or captive fisheries management.

III.d Gender

Men and women have distinct roles in natural resource management and other climate change impacted sectors and activities. In accordance with ADS 201.3.8, implementing partners need to demonstrate an understanding of these gender differences, as well as the ways in which men and women have different access to and use of information and technology, access to credit and policy level involvement throughout each component of their project descriptions. All people level indicators must be sex-disaggregated.

Gender must be taken into consideration when performing social impact analyses of programs and policies, including special consideration to strategically design program components to support enhanced participation and benefit for women. The Recipient must also consider gender in the design and implementation of technical trainings and ensure that gaps between men and women in terms of use, access, participation and benefits are reduced as a result of this program. Consideration should also be given in support of technologies and practices that can provide benefits to women or reduce gender inequalities.

IV. PROGRAM MANAGEMENT AND REPORTING

IV.1 Program Management

USAID Management and Technical Direction

Technical direction for the Cooperative Agreement will be provided by assigned staff from the USAID/Vietnam General Development Office, serving as the Agreement Officer's Representative (AOR). The AOR, with assistance from appropriate USAID expertise, will be responsible for monitoring the quality and effectiveness of the Recipient's performance by maintaining close contact with the Recipient's key personnel, the GVN and other key counterparts and by reviewing accomplishments against annual work plans. The AOR shall participate in periodic progress meetings with the

Recipient's team. At frequent intervals, the Recipient will be requested to coordinate with and brief USAID on project activities and progress toward achieving program results.

When required, the Recipient must deliver professional judgments to USAID about the effectiveness of personnel and partners employed under the project. Any international travel not approved in the workplan requires prior USAID authorization. During work plan development, the AOR will work with the implementing partner to establish approval protocols for modifications to the workplan.

Emphasis on Utilizing Local Resources

The Recipient must utilize the services of qualified Vietnamese firms and expertise as well as non-government organizations, professionals, and administrative and other support staff to the greatest extent possible.

Program Coordination

The Recipient must ensure that all activities under this Agreement are coordinated with other relevant donor activities, as well as with other Mission activities as appropriate.

Coordination with other USAID programs: The Recipient must coordinate with and complement other USAID/Vietnam activities and priorities, such as:

- *Pilot projects:* The geographic location of field sites must be approved by USAID/Vietnam. USAID/Vietnam may require they be geographically targeted to strategic areas for the Mission.
- *EC-LEDS:* VFD is an important contributor to USAID Vietnam's cross-cutting interest in supporting capacity in Vietnam to develop and implement low emission development strategies. The Recipient must participate in relevant meetings or workshops with other USAID partners, furnish technical and programmatic information to other partners as requested by the USAID AOR, and seek out and propose synergies with other USAID EC-LEDS initiatives.
- *Other USAID programs:* The Recipient must coordinate with other relevant USAID-supported activities in Vietnam, especially those described in *Section II.d* above.

Coordination with other donors: USAID Vietnam has the primary responsibility for donor coordination and will lead those efforts. The Recipient must support coordination by providing timely information to USAID about VFD activities and results, participating in donor coordination meetings as necessary, presenting at workshops, and completing other coordination as directed by the AOR. As the on-the-ground implementer, the Recipient will naturally obtain information about other donor activities in areas where VFD is active. The Recipient must proactively and promptly share that information with USAID.

IV.2 Performance Monitoring, Evaluation and Reporting

Monitoring of results is a key element of USAID programs. USAID seeks data and information to improve performance and effectiveness as well as to inform planning and management decisions. Accurate and timely monitoring will enable the Program to adapt to changing conditions and make mid-course corrections as necessary. Data also must be available to demonstrate program impact with ability to provide attributes to USAID programs.

The Recipient must describe the expected outcomes under each objective in annual work plans, and report on progress according to agreed indicators on a quarterly basis. The Recipient must have specific detailed plans to monitor and document program performance, using both indicators and any relevant organizational capacity assessments. Specific indicators, targets, and performance benchmarks for achievement of each of the objectives will be developed and submitted as part of the overall performance management plan (PMP) for this Program. The final PMP submitted by the Recipient will be subject to approval by the Agreement Officer's Representative (AOR) and will be assessed semi-annually against all required indicators and other agreed upon indicators and benchmarks included in the PMP.

Indicators, targets, and assessment/evaluation tools used for each objective must measure how the Program is contributing to the two program objectives and their component sub-Intermediate Results.

Indicators should have widely shared definitions and allow aggregation of results across the entire program. Furthermore, due to the difficulty in adequately capturing improvement of organizational capacity through quantitative measurements alone, the Recipient must develop or use existing assessment tools in organizational capacity building to assess and track the progress of each sub-grant throughout the funding cycle of this Agreement.

When necessary, the Recipient should be prepared to make revisions to indicators, assessment tools and other reporting requirements, all of which will be reviewed jointly with USAID/Vietnam. The Recipient must also be committed to actively sharing Program results with the GVN and other relevant stakeholders. In particular, the Recipient must make results available to partners working on the Low Emission Development Strategies (LEDS) programs as well as to the GVN and partners engaged in the Lower Mekong Initiative (LMI).

IV.3 Quarterly and Annual Reporting

Based on the PMP, and as part of USAID's Performance Review and Annual Report process, the Recipient must submit Quarterly and Annual Progress Reports, describing major program results towards achieving expected results, success stories, any problems encountered, and plans for the following quarter and year. Performance Management Progress Reports must consist of both narrative and quantitative sections (indicator tables). Final drafts of the reports will be due by April 30, July 31, October 31 and December 31 of each implementation year, respectively. However, due to USAID's and the State Department's reporting schedules, annual performance management information will often be required earlier than October 31 of each year.

Quarterly Progress Reports: The Recipient must prepare and submit to the USAID/Vietnam AOR quarterly progress reports that summarize progress in relation to agreed-upon targets contained in the Annual Work Plan, specify any problems encountered and indicate resolutions or proposed corrective actions; the status of activities and deliverables and the date of their completion/submission to USAID/Vietnam; changes to personnel; a brief summary of quarterly financial performance to permit the AOR to develop accruals reporting; and other relevant issues. For each action, the Recipient must designate responsible parties and establish a timeframe for completion. The report must list activities proposed for the next three months, noting where they deviate from the approved Annual Work Plan.

The quarterly Report must be combined with the Annual Report and submitted at the same time. There are only three quarterly reports due each year.

Annual Reports: The Recipient must submit an annual report covering activities of the previous USG fiscal year. The Recipient must provide a succinct presentation of Program achievements, objectives, and targets in the previous year, with supporting discussion to explain any shortfalls. The Recipient must summarize progress, provide an analysis of impact based on activities completed or in progress, identify success stories, and suggest resolution of any outstanding issues.

The Annual Reports must provide data for incorporation into USAID's annual reporting, as relevant. In this context, annual reports must include a performance indicator data table presenting the baseline, targets established for each fiscal year, and the actual annual performance data using indicators from the PMP, and illustrate how the results were achieved. This should include the monitoring of and reporting on milestone events that would help demonstrate progress towards achieving the Program's long-term results. Additional information to be addressed in performance reports includes: a comparison of actual accomplishments with the goals and objectives established for the period, reasons why established goals were not met, if appropriate, and other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Final Report: The Recipient must prepare and submit a Final Program Report to the AOR summarizing overall program achievements within 90 days of program completion. This report must contain a summary and discussion of all activities conducted under the Agreement, the results achieved, complete data from the performance monitoring and evaluation plan, and the impact of the activity. The Recipient must submit the monitoring of and reporting on significant milestone events that would help demonstrate progress towards the description of program success, including the final targets, data

sources, collection methods, and baseline information or a timeline for collecting it. This should include narrative descriptions of success at the program end. This report must not exceed 60 pages, although Annexes may be appended.

IV.4 Financial Reporting

IV.4.1 Accrual Report

The Recipient must submit an Accrual Report to the AOR no later than the 20th of March, June, September and December of each year, covering the period through the end of the reporting quarter.

IV.4.2 Quarterly Financial Status Report

The Recipient must provide to the AOR a Quarterly Financial Status Report in a functional format to allow an examination of the cost of carrying out major work plan activities, rather than simply providing conventional “budget categories” for major expenditures. The Recipient must submit quarterly financial reports to USAID within 30 calendar days following the end of each quarter. They must be disaggregated at the task area and contain, at a minimum:

- Total Cooperative Agreement budget;
- Total funds awarded (obligated) to date by USAID into the CA;
- Total funds previously reported as expended by recipient by main line items;
- Total funds expended in the current quarter by the recipient by main line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period;
- Total unliquidated obligations by main line items;
- Unobligated balance of USAID funds; and,
- Estimated expenditures for remainder of year.
- Pipeline Analysis

V. SUBSTANTIAL INVOLVEMENT

USAID/Vietnam considers collaboration with the awardees crucial for the successful implementation of this program. Substantial involvement under the proposed award may include the following (specific substantial involvement will be negotiated as part of the final award(s) in accordance with ADS 303.3.11):

a. Approval of the Recipient's Implementation Plans. USAID will not require approval of implementation plans more often than annually. Because this Award combines three different types of funds (adaptation, sustainable landscapes, and disaster risk reduction), USAID approval will include requirements for particular levels of effort for each component of the program. After the annual implementation plan is approved, USAID will need to approve changes to the plan, if the Recipient and/or USAID feels they are necessary for successful implementation.

b. Approval of Specified Key Personnel. USAID may designate as key personnel only those positions that are essential to the successful implementation of an award. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

c. Approval of Geographic Locations: The applicant must propose, and USAID approve, geographic locations for demonstrations or piloting, or other field implementation. USAID may engage directly with the GVN, if necessary, to obtain their concurrence on field locations.

d. Agency and Recipient Collaboration or Joint Participation. When the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the Agreement Officer (AO) may authorize the collaboration or joint participation of USAID and the recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:

- (1) Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) Concurrence on the substantive provisions of sub-awards. 22 CFR 226.25(c)(8) already requires the recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for sub-awards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

(3) Approval of the recipient's monitoring and evaluation plans.

(4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other programs. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

e. Agency Authority to Immediately Halt a Construction Activity.

VI. AUTHORIZING LEGISLATION

The authority for this RFA is found in the Foreign Assistance Act of 1961.

VII. AWARD ADMINISTRATION

For U.S. organizations, the award will be administered in accordance with 22 CFR 226, OMB circulars and the USAID Standard Provisions for U.S. Non-governmental Organizations. For non-US organizations, the USAID Standard Provisions for non-U.S. Non-governmental Organizations will apply. Web sites containing these regulations are provided in Section VI of this RFA.

VIII. ENVIRONMENTAL ASSESSMENT & MONITORING

1. 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs.
2. The 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.
3. The Recipient is required to prepare: a site/activity-specific Environmental Data Form/Review Report and related Environmental Mitigation and Monitoring Plan, both to be reviewed and approved by the AOR.
4. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this contract to determine if they are within the scope of the approved Regulation 216 environmental documentation.
5. If the 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.
6. 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.
7. If applicable, a biosafety and non-invasive species analysis will be prepared by the Recipient and reviewed by the Agency Biosafety Review Advisor and approved by Asia BEO.

8. The Recipient shall have sufficient technical and financial capabilities and resources to comply, implement and report on environmental conditions.
9. For grants, the Recipient must ensure all grantees comply with applicable laws, regulations and standards of the GVN and those stipulated under applicable international environmental agreements and conventions ratified by GVN as well as international good practice.

IX. EXCHANGE VISITORS AND TRAINING

(Applicable to Acquisition/Assistance Solicitations and Awards)

Participant Training - Application of ADS Chapter 252 and ADS Chapter 253: The contractor must comply with U.S. Government regulations on exchange visitors, as well as USAID/Vietnam-specific requirements for processing of J-1 Exchange Visitors. A summary of these requirements can be found in USAID Automated Directives System (ADS) Chapter 252 – Visa Compliance for Exchange Visitors and ADS Chapter 253 – Training for Development. The contractor will enter applicable information into USAID’s web-based training information system, TraiNet, for any exchange visitors, participant training, third-country training, or in-country training that is funded through this award. Information on ADS 252 and 253 requirements is available in <http://www.usaid.gov/policy/ads/>. The contractor may seek assistance from the COTR.

SECTION II: BASIC AWARD INFORMATION

1. ESTIMATED FUNDING

USAID anticipates that only one award will be made under this solicitation but reserves the right to make multiple awards to U.S. or non-U.S. non-governmental organization (NGO) to implement the Vietnam Forests and Deltas activity. The total estimated amount of funding available for the program is \$25-30 million.

USAID reserves the right to fund any, a portion of, or none of the applications submitted.

2. PERFORMANCE PERIOD

The estimated period should not exceed five-years (from on or about October 1, 2012 – September 30, 2017).

3. AWARD TYPE

USAID anticipates award of a Cooperative Agreement. The USAID/VIETNAM AOR's Substantial Involvement under the award is described in Section I.V of this RFA.

4. AUTHORITY TO OBLIGATE THE GOVERNMENT

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

SECTION III: ELIGIBILITY INFORMATION

1) USAID policy encourages competition in the award of grants and cooperative agreements. U.S. or non-U.S. non-governmental organizations (NGOs) and/or consortia are eligible to submit applications. For the purposes of this solicitation, NGOs include any incorporated entity, either non-profit or for-profit, other than a governmental organization. Applicants may form partnerships with other academic institutions, private sector entities, or NGOs in submitting applications.

2) All applicants are required to demonstrate the ability to perform and implement the activities under this RFA in Vietnam.

3) All applicants should have a DUNS number and applicants that do not have a DUNS number are required to obtain one within 30 days after award (if successful). To obtain a DUNS number, applicants may contact Dun and Bradstreet or by calling 1-866-705-5711, or request a number via the internet at <http://fedgov.dnb.com/webform>

4) USAID encourages applications from organizations that have not received funding from USAID in the past.

5) 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.” Cost sharing or match refers to that portion of a project or program costs not borne by the Federal Government. Cost share or match is normally associated with contributions from the same prime and sub-recipients sources that also receive USAID funds. Examples of cost share for this program may include the provision of technical assistance, commodities, distribution networks and other sources of support relevant to achieve program objectives. Cost share must be verifiable from the recipient’s records, is subject to the requirements of 22 CFR 226.23, and is subject to audit. A recipient’s failure to meet its cost share requirement can result in questioned costs.

According to USAID policy, cost sharing is an important element of the USAID-recipient relationship. While there is no stated minimum required cost share amount, applicants are encouraged to give serious consideration to proposing cost share as a signal of the applicant's commitment to the activity and increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles.

6) 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.

7) Pursuant to 22 CFR 226.81, USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization) may be paid under the Agreement.

8) To be eligible for award, the Applicant must provide all required information in its application, including the requirements found in any attachments to this www.Grants.gov opportunity.

SECTION IV: APPLICATION SUBMISSION INFORMATION

I. PREPARATION GUIDELINES

- a. Any prospective Applicant desiring an explanation or interpretation of this RFA must request it in writing to Ms. Praveena ViraSingh, Acquisition Specialist, via email to pvirasingh@usaid.gov and copied to Mr. Patrick Wilson at pwilson@usaid.gov by May 15, 2012, 4:00 pm Bangkok time. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective grantee concerning this RFA will also be furnished to all other prospective grantees as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.
- b. Applications must be submitted in two separate parts: (a) technical and (b) cost or business application. An original and two (4) hard copies of the technical application and an original and one (1) hard copy of the cost application must be submitted in addition to the electronic submission, as described in the cover letter of this RFA.
- c. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if: (i) USAID's treatment of the material is consistent with the terms of the RFA, (ii) all late applications are treated the same, (iii) they are evaluated before any agreements are awarded under the RFA and (iv) the Agreement Officer consents in writing to the review of late or incomplete applications.
- d. Technical applications must be specific, complete, and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. Applications must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. Applications must take into account the technical evaluation criteria found in Section V of this RFA.
- e. Submission of Applications Electronically (Important):
1. Preferred software for electronic submissions: Microsoft Word (for narrative text) and Excel (for tables). PDF files are acceptable. Please be advised that the selected Applicant will be required to submit their budget breakdown in Excel. The Excel sheets should not be password protected. Applicants may post their applications electronically on www.grants.gov instead of submitting via email.
 2. After you have sent your application via email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or make note in the filename if submitted via grants.gov that it is a "corrected" submission. Each Applicant is responsible for their submissions.
 3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email. Your organization must appoint one person to send in the email submissions who will serve as the contact person for future communications regarding this RFA
 4. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost proposal is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Proposal, Part 1 of 2".
 5. USAID's preference is that the technical proposal and the cost proposal be submitted as single respective email attachments, e.g., that you consolidate the various parts of a technical proposal into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be

responsible for errors in compiling submitted electronic proposals if no instructions are provided or if instructions are unclear.

f. The hard copies of applications and modifications thereof must be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the Applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.

g. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

h. Preparation of Applications:

1. Applicants must review, understand, and comply with all aspects of this RFA. Failure to do so may be considered as being non-responsive and may be evaluated accordingly.
2. Each Applicant must furnish the information required by this RFA. On the hard copies of applications, the Applicant must sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office
3. Applicants which 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 must:

(a) Mark the title page with the following legend:

"This application includes data that must not be disclosed outside the U.S. Government and must 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 must 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 ____."; 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."

II. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity.

The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals and objectives of this project. Therefore, it should be specific, complete and concise.

The Technical Application narrative section ***must not exceed 25 single-spaced typed pages*** (12 point Times New Roman Font and a minimum of 1 inch margins all around). INFORMATION SUBMITTED OVER 25 PAGES WILL NOT BE EVALUATED. Promotional literature and materials regarding the applicant must not be submitted as part of the annexes. The following items are not subject to the page limitation and will not be counted (a page in the technical proposal, which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the "page" limitation):

- Cover page;
- Table of contents;
- Dividers;

- Table summarizing qualifications, skills and capabilities of proposed personnel (key personnel and notional non-key personnel);
- Appendix attachments which contain biographical information (i.e. resumes and other documentation provided by the Offeror) for proposed candidates;
- Monitoring and Evaluation Plan/Performance Monitoring Plan (PMP)
- Grantee and Subgrantee Past Performance Listing;
- Implementation Plan
- Branding Implementation Plan and Marking Plan;
- Charts providing information on management structure, matrixes demonstrating staff skills, and organizational chart(s);
- Curricula Vitae (CVs), letters of commitment (from COP and from proposed consortia partners), and letters of availability for other key personnel (who must not be required to sign with the Offeror on an exclusive basis), and references.

All other items are included in the above page limitation. Please number pages as “Page of Page” where a page number combined with a letter indicates a page that is excepted from the 25 page limitation. Annexes can be numbered separately and should be numbered as “Annex 1: 1 of X, Annex 1: 2 of X”, et cetera.” Pages should be paginated at the bottom.

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated. Letters of support are not requested and will not be provided to the evaluation panel.

Interested applicants shall provide a detailed technical application and demonstrate how it will achieve the overall goal, program objectives and results as previously described. Applicants must organize the technical application to follow the information set forth below.

USAID prefers the use of the program title given in this RFA, but applicants may develop their own specific program title as part of their offer. However, use of the successful applicant’s proposed title or an alternate title is solely at USAID’s discretion.

The technical application must be keyed to the technical evaluation criteria outlined in Section V, and contain only the requested information. The technical application must be organized and presented in this order for ease of reviewing by the Technical Evaluation Committee.

Executive Summary: This section will describe the basic elements of the applicant’s approach, methodology and implementation plan.

Technical Approach

The technical approach must demonstrate feasibility, innovativeness and cost-effectiveness to achieve the program goals and the specific objectives of the program.

The Technical Approach, as revised during negotiations, will become the Program Description of any resulting Cooperative Agreement. It must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed. It must outline specific, focused activities; identify how and where (e.g. country and level: local or national) those activities will be implemented; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the program is completed.

The proposed outcomes/results should, as far as possible, be measurable, without undergoing an intensive and expensive evaluation. If it is not possible to measure desired results within the Program period because of funding constraints, such results may be documented through qualitative approaches.

The Applicant must provide a draft annual work plan for the first year, including a detailed Implementation Schedule for achieving expected program results. The Applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual

approach, and performance milestones, and must include a realistic timeline for achieving the quarterly, annual, and end-of-program results.

Sub-grant arrangements are allowable to supplement prime organization's technical skills. Applicant might enter into partnerships with other non-profit and/or for-profit organizations as sub-grantees. The prime organization will be responsible for the achievement of results and the execution of the program. If the Applicant plans to collaborate with other organizations or indigenous organizations for the implementation of the core component of this award, the services to be provided by each organization must be described. Applicants that intend to utilize sub-grantees must indicate the extent intended, the method of identifying them and the tasks/functions they will be performing. Applicants must state whether or not they have existing relationships with these other organizations and the nature of the relationship (e.g., sub-grantee, subcontractor, partnership, etc.). The Applicant must specify the technical resources and expertise of proposed organizations. Further, the prime organization must also include a capacity-building component for local sub-grantee organizations. Technical plan information for proposed sub-grantees should follow the same format as that submitted by the Applicant. A SIGNED letter of commitment from the proposed partner must be submitted. Letters of commitment need not be exclusive.

Key Personnel

The Applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Applicant must specify the composition and organizational context of the entire implementation team (including home office support). The Applicant must propose and justify which positions should be Key Personnel and propose other personnel as part of the technical proposal as deemed appropriate to implement the major tasks described in Section I – Funding Opportunity Description.

In an annex to the technical application, applicants must provide resumes and proposed position descriptions for the candidates proposed for all key personnel. The resumes should demonstrate that the proposed key personnel possess the skills and knowledge to effectively carry out their proposed responsibilities. Resumes must be no more than three (3) pages in length for each proposed individual and must be presented in chronological order starting with most recent experience. Key personnel will be assessed on the appropriateness of their academic background, expertise and years of experience working on project activities similar to their designated duties and responsibilities for this program.

Each resume must be accompanied by a SIGNED letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. References may be checked for all proposed key personnel, and applicants must provide current phone, fax, and email address for each reference contact.

USAID suggests that staffing include four (4) key personnel as elaborated below. The Chief of Party is required key personnel. The Applicant may propose a different number or composition of key personnel, but not to exceed five (5). Key personnel may be international or local hire, as long as they have the necessary skills and experience.

Chief of Party - The Applicant is required to appoint a Chief of Party (COP). The COP will be responsible for technical leadership and administrative oversight of the program and serve as the principal institutional liaison to USAID. The COP will be responsible for the day-to-day management of the Project and will ensure the Project is progressing appropriately and meeting its targets. Qualifications:

- Required: A minimum of 10 years' professional experience in leading and managing international development programs or projects of similar scope and scale to the program described in this RFA, with at least 5 years' experience managing programs in forestry and/or adaptation. Preferred: Work experience in Southeast Asia, particularly Vietnam.
- Required: At least a Master's level degree in management, international development or a field of study related to the sectors included in this RFA. Preferred: Ph.D. level degree in one of these fields of study.

- Required: Demonstrated capabilities in institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with civil society, local, regional and central-level government authorities and with USAID or other development partners.
- Required: Proven exceptional leadership in the design, management, implementation, monitoring, and evaluation of similar-sized international donor supported programs, with skills in strategic planning, management, supervision, and budgeting. Preferred: Experience in managing complex activities involving coordination with multiple program partner institutions.
- Preferred: Experience in managing programs of a large bilateral or international donor, particularly previous experience as a Chief of Party.
- Required: Strong communication skills, including interpersonal, and fluency in written and oral English, to fulfill the diverse technical and managerial requirements of the program and to effectively coordinate with a wide range of stakeholders including senior representatives of national and local government.
- Required: Demonstrated high level of expertise in one or more of the technical areas of climate change covered by the RFA.
- Required: Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-sector (such as public and private sector) and multi-disciplinary teams.

Deputy Chief of Party - The Deputy Chief of Party serves in the role of Acting Chief of Party when the Chief of Party is unavailable. Qualifications:

- Required: A minimum of 10 years professional experience in leading and managing international development programs or projects, with at least 5 years experience managing programs in forestry and/or adaptation. Preferred: Work experience in Southeast Asia, particularly Vietnam.
- Required: At least a Master's level degree in international development, forestry, agriculture, fisheries, economics, or other field of study related to the sectors included in this RFA. Preferred: Ph.D.-level degree in one of these fields.
- Required: Extensive senior level professional program management experience in the areas of policy reform, government engagement, and technical analyses.
- Required: Proven high level of expertise in one or more of the technical areas of climate change covered by the RFA. Preferred: Technical expertise that complements the skills of the Chief of Party.
- Required: Strong interpersonal and communication skills in English, sound project management experience, and experience working with government institutions, NGOs, private sector, and local communities.

Sustainable Landscapes Team Leader - The Sustainable Landscapes Team Leader is responsible for leading implementation of activities under IR 3, including providing staff oversight, technical direction, and liaison with the government of Vietnam. Qualifications:

- Required: A minimum of 10 years professional experience in managing international development activities in the forest or land use sectors. Preferred: Work experience in Southeast Asia, particularly Vietnam.
- Required: At least a Master's level degree in international development, forestry, natural resource economics or social sciences, or other related field. Preferred: Ph.D.-level degree in one of these fields.
- Required: Extensive senior level professional program management experience in the areas of policy reform, government engagement, and technical analyses.
- Required: Proven high level of expertise in forestry, natural resources, natural resource economics or social sciences, climate change mitigation, or other area related to work under IR 3.
- Required: Strong interpersonal and communication skills in English, sound project management experience, and experience working with government institutions, NGOs, private sector, and local communities.

Adaptation Team Leader - The Adaptation Team Leader is responsible for leading implementation of activities under IR 4, including providing staff oversight, technical direction, and liaison with the government of Vietnam. Qualifications:

- Required: A minimum of 10 years professional experience in managing international development activities in the forest, land use, agriculture, fisheries, disaster risk reduction, or other sectors covered under IR 4, of which at least five years must have involved climate change adaptation. Preferred: Work experience in Southeast Asia, particularly Vietnam.
- Required: At least a Master's level degree in international development, forestry, natural resource economics or social sciences, agriculture, fisheries, hydrology, or other related field. Preferred: Ph.D.-level degree in one of these fields.
- Required: Extensive senior level professional program management experience in the areas of policy reform, government engagement, and technical analyses.
- Required: Proven high level of expertise in forestry, natural resources, land use, agriculture, fisheries, disaster risk reduction, climate change adaptation, or other areas related to work under IR 4
- Required: Strong interpersonal and communication skills in English, sound project management experience, and experience working with government institutions, NGOs, private sector, and local communities.

Key personnel that are identified and included in the final cooperative agreement between USAID and the Recipient are considered to be essential to the work being performed hereunder. Prior to replacing any of the key personnel, the Recipient must immediately notify both the Agreement Officer and USAID AOR at least one month in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the activity. The Recipient must have the written consent of the Agreement Officer before replacing any key personnel.

Management Plan

The Management Plan must describe the technical resources and expertise that the Applicant and its proposed partners will utilize in implementing the proposed program and how these resources will be organized to deliver the desired outcomes and meet USAID's expectations for reporting, coordination, and communications. The Management Plan must provide a brief summary of the history of the respondent's work in climate change, forestry, watershed or landscape management, disaster risk reduction or other relevant areas. The application also must provide evidence of the organization's expertise and capabilities, and describe its comparative advantage in implementing the proposed activities.

The Management Plan must specify the composition and organizational structure of the program team (including home office support and field office(s), as appropriate) and briefly describe each proposed staff member's role, technical expertise, and estimated amount of time s/he will devote to the Project. The application must also briefly describe the experience, role, and location of any partner organizations or consortium members, the comparative advantage of the team in implementing the proposed activities, and the approach for managing the proposed sub-partners.

The Applicant must include within the application the role of specific local organizations (local NGO, or other appropriate entity) that will implement activities in partnership with the applicant; the purpose of the partnership being capacity building of the local partner(s) to eventually independently implement and sustain activities beyond the life of this specific project. The Applicant must describe the approach for managing proposed sub-partners to maximize their input and utility and quality of services provided. In particular, the Applicant is encouraged to identify significant roles for local NGO partners, and provide a plan for how their capacity will be built and for how they will be given increasing responsibilities to implement the program. At the same time, the Applicant must put in place sufficient controls and monitoring to ensure performance of local partners and identify and address implementation challenges before they become large problems.

The Applicant must describe its proposed management and staffing plan, and it must be one that is capable of operating independently and supporting the program described in the application. The Applicant must demonstrate in the management plan the Applicant's ability to manage the activities to be carried out under the agreement, including lines of supervision, accountability, decision-making and responsibility among staff. This is a field-based program and it is the intent that the decision-making of this program be at the country level and not at the organization's HQ level.

Additionally, authority and involvement should be given to the various partners of the program management team. The Applicant must propose an overall staffing pattern that demonstrates the breadth and depth of technical expertise and experience required to implement this complex program. The staffing plan must demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing.

Key personnel should demonstrate state-of-the-art expertise in international standards. The Applicant must specify the composition and organizational structure of the entire program, the roles of staff and technical expertise. Applicants are encouraged to take advantage of local expertise as available and appropriate. The management plan must demonstrate how the Applicant will emphasize the use of in-country staff and resources. An organizational chart laying out essential positions for the organization itself and any partners on the management team must be included as an appendix.

The Applicant must provide a clear description of how the award will be managed, including the approach to addressing potential problems and challenges. The Applicant must outline which organization/partner will carry out the various activities specified in the technical approach. The Recipient will be responsible for management of the Program and production of intended results. The management plan should demonstrate that the Applicant has an understanding of management barriers that could occur during program implementation, and how the Applicant plans to overcome these barriers. It is also important for the Applicant to consider and describe a mobilization plan for program start-up that demonstrates an ability for rapid start-up by efficiently establishing in-country presence with necessary registration and documentation and ability to be operational within a reasonable timeframe. The Applicant must be able to strongly demonstrate the sustainability of the program activities after the program ended.

The Applicant must describe the role of and contractual arrangement with each sub-partner, and the approach for managing proposed sub-partners to maximize their input and utility and quality of services provided. In particular, the Applicant is encouraged to identify significant roles for local NGO partners, and provide a plan for how their capacity will be built and for how they will be given increasing responsibilities to implement the program. At the same time, the Applicant must put in place sufficient controls and monitoring to ensure performance of local partners and identify and address implementation challenges before they become large problems.

Additionally, the Applicant must describe how it will coordinate with different organizations who work in the field of climate change and with other USAID partners.

The Management Plan should contain a Performance Management Plan (PMP) must include annual and end-of-program indicators and targets to measure the progress of the proposed activities and the impact of the program (process indicators and impact indicators). The plan must also describe the monitoring system that will enable it to track these indicators regularly.

Applicants must provide estimated (draft) targets by indicator for the first 12 months of the program (from October 1, 2012 to September 30, 2013). Actual and subsequent year targets will be negotiated with USAID/Vietnam annually during work plan development based on availability of funds and program performance. The list of proposed indicators should align with program level standard climate change and gender indicators. The final monitoring and evaluation (M&E) planning must be developed with USAID/Vietnam through annual work plan development. Applicants may propose other indicators that would be added to the M&E plan to facilitate enhanced monitoring of proposed activities and complement program indicators.

Institutional Capabilities

The Applicant must describe its organizational knowledge, capability and experience in managing programs on climate change and natural resource management-related issues. Applicants must furnish evidence that they have the ability to plan, implement and monitor the program effectively. They must demonstrate their experience in the geographic and program areas identified in the Funding Opportunity Description. They must demonstrate organizational experience in managing relevant programs in terms of the activities specified in Section I – Funding Opportunity Description of this solicitation and the program size. In addition, applicants must clearly describe their demonstrated ability to manage

multiple complex activities involving collaborative efforts, and maintain clear and effective lines of communication between and among implementing partners and sub-partners.

The Applicant must provide the same information for all the proposed major sub-contractors and/or sub-grantees.

Past Performance

Applicants must include the three (3) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three years involving programs similar to the program proposed in your application. Include the following for each award listed:

- Name of awarding organization or agency
- Address of awarding organization or agency
- Place of performance of services or program
- Award number
- Amount of award
- Term of award (start and end dates of services/program)
- Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency
- Brief description of the program

Applicants must also include the two (2) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by each major sub-grantee proposed. A major sub-grantee is one whose proposed cost exceeds 20% of the Applicant's total proposed cost. Include the same information as listed above.

USAID may contact references and use the past performance data, along with other information to determine the Applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

III. COST APPLICATION FORMAT

The Cost or Business Application must be submitted separately from the technical application. Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. The following sections describe the documentation that Applicants for Assistance awards must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- a. The Applicant must submit a budget and budget narrative that allows the Agreement Officer to reach the determination that all proposed costs are reasonable and the proposed budget is realistic to carry out the program the Applicant proposed in its technical application. The proposed budget should clearly identify the costs involved to perform the activities identified in the technical approach and the budget narrative should provide evidence that the proposed budget is both reasonable and will achieve the program objectives. A summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the grants.gov website at www.grants.gov
 1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.
 2. The breakdown of all costs according to each partner organization (or sub-Recipient) involved in the program.
 3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
 4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement.
 5. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
 6. The procurement plan for commodities.

7. Indicate the name, annual salary, and expected level of effort of each person charged to the project. Provide key personnel resumes showing work experience and annual salary history for at least the three most recent years for key personnel.
 8. If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.
 9. The same individual information for consultants must be provided as for regular personnel.
 10. Allowances must be broken down by specific type and by person, and must be in accordance with the Applicant's policies.
 11. Travel, per diem and other transportation expenses must be detailed in your proposal to include number of international trips, expected itineraries, number of per diem days and per diem rates.
 12. Specify all equipment to be purchased and the expected geographic source.
 13. Financial Plans for all proposed sub-grants and subcontracts must have the same format and level of detail as those of the Applicant. Following the Applicant's detailed budget breakdown, detailed budget breakdowns for each sub-Recipients/(sub) contractor must be presented. Sub-Recipient/(sub) contractor budgets must not be intermingled. The first page must be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/subcontract. Detailed budget notes which explain how the subs' proposed budget was reviewed and how a determination was made that it is fair and reasonable must be provided.
 14. Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs must be separate cost line items.
- b. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;
 - c. Required certifications and representations (see Attachment I of this RFA); NOTE: Past Performance References requested in the certifications and representations should be attached to the technical application;
 - d. USAID endorses cost-sharing as an important principle in USAID-Recipient relationships. Applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non- Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.
 - e. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency must also submit the following information:
 1. Copies of the Applicant's financial reports for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart; and,
 3. A copy of the organization's accounting manual.
 - f. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted must substantiate that the Applicant:
 1. Has adequate financial resources 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 a cooperative agreement under applicable laws and regulations (e.g., EEO).

- g. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government will be required to submit a copy of their accounting manual if their application is chosen for a potential award. If a copy has already been submitted to the U.S. Government, the Applicant must advise which Federal Office has a copy.
- h. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Procurement.

NOTE: This RFA does not provide for reimbursement of any pre-award costs.

SECTION V: APPLICATION REVIEW INFORMATION

Applications will be evaluated in accordance with the selection criteria identified below. Subject to the availability of funds, USAID expects to award one cooperative agreement, but reserves the right to make multiple awards. An award will be made to the responsible applicant/partner whose application offers the greatest value, cost, integrated approach, financial viability, innovative solutions, and other factors considered.

The technical application must set forth in detail the conceptual approach, methodology, and techniques for accomplishment of the stated program objectives. The application must define results and benchmarks for monitoring progress in achieving the results.

Interested, eligible organizations are encouraged to propose activities to be completed within a five-year period to address the goal and objectives of the program. A budget of \$25-30 million over five (5) years is expected to be sufficient to cover all project activities. USAID reserves the right to determine the resulting level of funding for any awards made under this RFA.

A technical evaluation committee will review applications based upon the criteria set forth below which have been tailored to the requirements of this RFA. Weighted points indicate the relative importance of each technical criterion and sub-criteria, of which 100 points are possible (please note that the sub-criteria are weighted and not listed in any order of importance, further information under each sub-criteria are evaluated as a whole in determining the score of the technical criterion). To facilitate the review of applications, applicant must organize the narrative sections of technical proposals according to the evaluation criteria set forth below. Applicants should note that these criteria serve to (a) identify the significant issues that applicants should address in their applications, and (b) to set standards against which all applications will be evaluated.

After evaluation of initial proposals, USAID expects to select the applicant(s) which will receive the award to implement the program description. Once this choice is made, USAID may engage in discussions or negotiations with the selected applicant(s) regarding any matter to be covered in the final program description. However, USAID may also award without discussions with the selected applicant(s).

TECHNICAL APPROACH (35 POINTS)

The technical approach will be evaluated in terms of overall quality, including innovativeness, flexibility, creativity, scalability of impact, and practicality to achieve or exceed the project objectives and the specific expected outcomes within the stated period of performance, and incorporates a multi-disciplinary, multi-sectoral approach and an understanding of international climate change policies.

- Presents a comprehensive set of activities that addresses both IRs, all the sub-IRs, and all their component results as specified in the RFA and achieves the results in an economically, socially and institutionally sustainable way. Level of effort should be allocated equally between the two IRs. Also, for IR 4 (adaptation and disaster risk reduction) in the Mekong and Red River delta, the Mekong delta region must receive at least half of the level of effort under IR 4.
- .
- Demonstrates in-depth understanding of the social, economic and technical aspects of sustainable landscape management, adaptation, and disaster risk management in general, and as they apply specifically to Vietnam.
- Describes an approach, including timeline and targets, to identify, mentor, and train local NGOs to have the capacity to meet financial, management, and reporting requirements for direct USAID financial support. Also describes illustrative program implementation activities that Vietnamese NGOs can accomplish with direct USAID support, either through contracts or grants, and specifies timeline and targets for handing over these activities to local NGOs.
- Incorporates effective approaches to protect and promote the rights and livelihoods of the most vulnerable members of society, as related to the areas of work under this RFA. To include recognizing gender differences

and dynamics, and incorporating measures to address and reduce gender inequalities and promote female empowerment.

-
- Demonstrates the involvement of a broad range of stakeholders, including host-government, NGOs, private sector, and local communities in the achievement of the program results; and includes a robust strategy for how political commitment from local and national government will be secured, maintained, and enhanced.
- Describes how the proposed activities take advantage of synergies with other donor-supported or GVN programs, fill gaps, and coordinate and collaborate as appropriate with other relevant USAID-supported activities.

KEY PERSONNEL (25 POINTS)

The RFA specifies four (4) key personnel. In their management plan, the Applicant must justify and propose at least four (4) key personnel, not to exceed five (5). A Chief of Party, Deputy Chief of Party, Sustainable Landscapes Team Leader, and Adaptation Team Leader are required key personnel. The key personnel proposed by the Applicant will be evaluated according to the following criteria:

- Sector specific qualifications, professional competence, and relevant academic background
- Demonstrated success in carrying out activities and duties similar to those they will have under this RFA
- Demonstrated leadership, management, interpersonal, and communication skills

The U.S. Government reserves the right to interview known references not provided in the proposal submission.

MANAGEMENT PLAN (20 POINTS)

The Applicant's management plan and administrative arrangements will be evaluated based on the following criteria.

- How well the Applicant has organized the management of its activities, roles and responsibilities, relationships with concerned stakeholders (USAID, Host Government, civil society, private sector, local communities, etc.) and coordination of its activities within each of the program's components and how comprehensively the Applicant proposes an appropriate organizational structure for the entire program, including long-term and short-term personnel, home office support, sub-offices, and sub-Recipients; and aligns the staffing plan and responsibilities of personnel and sub-Recipients with each program component, including the extent to which the sub-Recipients participate in the management of Program activities; and inclusion of a strategy for increasing management of the program to be transferred to appropriate Vietnamese NGOs. (10 points).
- Extent to which the Applicant has a reliable and realistic Performance Monitoring Plan (PMP) for monitoring, tracking and reporting performance, including a plan for collecting, evaluating and validating performance and financial data. In addition, it must include proposed annual and end-of-program indicators and targets to measure the progress of the proposed activities and the impact of the program. The PMP must use required or recommended USAID standard climate change and gender indicators, as well as custom indicators as needed. (5 points).
- Extent to which the Applicant has an effective approach for stakeholder engagement in implementation, including involvement of the host-government, NGOs, private sector, local communities, and women and youth in the achievement of the program objectives outlined in Section I 3.1; and identification of local partners and their roles in facilitating local buy-in and perceived legitimacy of program activities (5 points).
-

INSTITUTIONAL CAPABILITIES (10 POINTS)

Institutional Capabilities will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA. The Applicant must demonstrate their ability to manage (technically, administratively, and financially) a program of similar type and scope and to deliver results within the specified time frame and budget.

- Demonstrated capability and capacity to plan, implement, adapt, and support complex programs within the range of activities outlined in the application;
- Demonstrated ability to meet USAID reporting and accountability requirements;

- Timeliness of performance, including adherence to schedules, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation;
- Demonstrated ability to form strong partnerships with other organizations.

PAST PERFORMANCE (10 POINTS)

Past performance will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA, as well as experience working in varying operational environments, in program monitoring and evaluation, timeliness, budgeting, and financial reporting. Each applicant is required to provide past performance references (the three most relevant) for itself and two for each proposed major subgrantee. The past performance evaluation will focus on the applicant’s record of conforming to contract/agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to contract/agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment to customer satisfaction, the business-like concern for the interest of the customer, and the competency of personnel who worked on the agreement.

[Note: The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will not be evaluated favorably or unfavorably on past performance. The neutral rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant’s past performance.]

USAID reserves the right to obtain past performance information from other sources including those not named in this application.

TOTAL: (100 POINTS)

Cost Evaluation: Evaluation points will not be awarded for cost. Cost will primarily be evaluated for realism, allowability and reasonableness. This will consist of a review of the cost portion of the Applicant’s proposal to determine if the overall costs proposed are realistic for the work to be performed, if the cost reflects the Applicant’s understanding of the requirements, and if the costs are consistent with the technical proposal. As technical scores converge, applications that maximize direct activity costs, including cost sharing, and that minimize administrative costs will be more favorably considered. In addition, the Applicant must demonstrate adequate financial management capability, to be measured by a responsibility determination.

Evaluation of the cost proposal will consider, but will not be limited to, the following:

- Cost reasonableness;
- Cost effectiveness and realism;
 - Are the budget estimates realistic for the proposed activities?
 - Do the budget allocations result in optimal use of project funds and ensure that there are sufficient resources to implement the proposed project activities?
- Consistency with the technical proposal;
- Completeness and adequacy of proposed budget information;
- Overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements); and
- Cost sharing, although not required, will be looked upon favorably. Notes on cost sharing:

- 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.

- USAID policy is that cost sharing is an important element of the USAID-recipient relationship. USAID requires Applicants to demonstrate their commitment to project success by addressing the issue of cost-sharing, although USAID does not require a specific cost share amount. The Applicant’s cost share is in addition to any leveraged resources through proposed public-private partnership(s).

SECTION VI: AWARD and ADMINISTRATION INFORMATION

A. AGREEMENT AWARD

1. Following selection for award and successful negotiations, a successful applicant will receive an electronic copy of the notice of the award signed by the Agreement Officer which serves as the authorizing document. The Agreement Officer will only do so after making a positive responsibility 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.
2. The award will be issued to the contact as specified in the application as the Authorized Individual in accordance with the requirements in the Representations and Certifications.
3. Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make any award.

4. The reporting requirements indicated in Section I will be incorporated as part of the award made under this RFA.

B. RELEVANT POLICY AND REGULATORY REFERENCES

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations, and Standard Provisions for U.S. Nongovernmental Organizations. These policies and federal regulations are available at the following web sites:

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

22 CFR 226: http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf

22 CFR 230 (formerly OMB Circular A-122)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a122.pdf

OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/index.html>

48 CFR 31.2: <http://www.arnet.gov/far/>

Mandatory Standard Provisions for U.S. Nongovernmental Recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/refindx3.htm>

Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/refindx3.htm>

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 220 for universities (formerly OMB Circular A-21), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

Resulting awards to PIOs will be administered in accordance with Chapter 308 of USAID's Automated Directives System (ADS-308), 22 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for Public International Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

C. GEOGRAPHIC CODE

Goods and services provided by the Recipients under this USAID-financed award will be subject to the 937 Geographic Code which is defined as the United States, the cooperating country, and developing countries other than advanced developing countries, and excluding prohibited sources. Please refer to ADS 310 and 22 CFR 228 for more information.

D. U.S. EXECUTIVE ORDERS AND LAW REGARDING TERRORISM

The Recipient 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 to ensure compliance with these Executive Orders and laws. This provision must be included in all sub-awards issued under this agreement.

E. FOREIGN GOVERNMENT DELEGATION TO INTERNATIONAL CONFERENCES

Funds in the 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" at <http://www.info.usaid.gov/pubs/ads/300/refindx3.htm> or as approved by the Agreement Officer.

F. SALARY SUPPLEMENTS

Any payments by the Recipient to employees at any level of any foreign government must be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the agreement, the Recipient must consult with USAID on any questions regarding the applicability of the policy.

G. UNSUCCESSFUL APPLICATIONS

Unsuccessful applications will not be returned to the Applicant.

H. NON-FEDERAL AUDITS

In accordance with 22 C.F.R. Part 226.26 Recipients and sub-Recipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and sub-Recipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

I. BRANDING STRATEGY AND MARKING PLAN

The apparently successful applicant(s) will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer. A Branding Implementation Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link:

<http://www.usaid.gov/policy/ads/300/> . The Recipient must comply with the requirements of the USAID “Graphic Standards Manual” available at www.usaid.gov/branding , or any successor branding policy.

J. USAID DISABILITY POLICY – Assistance (December 2004)

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 engage other USG 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>.

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 any Grant or Cooperative Agreement awarded pursuant to this RFA. 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

K. STANDARD PROVISION: EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (December 2009)

a. All the requirements of 22 CFR Part 205, Participation By Religious Organizations In USAID Programs, are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in 22 CFR Part 226. The requirements of 22 CFR Part 205 apply to both religious and secular organizations.

b. If the recipient makes subawards under this agreement, faith-based organizations must be eligible to participate on the same basis as other organizations, and must not be discriminated for or against on the basis of their religious character or affiliation.

c. The recipient must not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services directly funded with financial assistance from USAID. 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. These restrictions do not apply to programs where USAID funds are provided to chaplains to work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.

d. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities in accordance with applicable cost accounting principles. Sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship are ineligible for acquisition, construction, rehabilitation, or improvements using USAID funds.

e. 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.

f. When the recipient is a religious organization, the recipient

(1) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities, such as worship, religious instruction, or proselytization.

(2) Retains its authority over its internal governance and may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.

(3) Retains its exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1.

(4) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols.

g. The Secretary of State may waive the requirements of this provision in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

L. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --210 of the attachment to OMB Circular A-133, —Audits of States, Local Governments, and Non-Profit Organizations||).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

M. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

- (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization;
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- (2) Executive means officers, managing partners, or any other employees in management positions.
- (3) Subaward:
- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations||).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- (4) Subrecipient means an entity that:
- (i) Receives a subaward from you (the recipient) under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
- (5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or subrecipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- (i) Salary and bonus.
 - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 - (v) Above-market earnings on deferred compensation which is not tax-qualified.
 - (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

N. TRAFFICKING IN PERSONS (OCTOBER 2010)

a. Provisions applicable to a recipient that is a private entity.

- (1) You as the recipient, your employees, subrecipients under this award, and subrecipients’ employees may not—
 - (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (ii) Procure a commercial sex act during the period of time that the award is in effect; or

(iii) Use forced labor in the performance of the award or subawards under the award.

(2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

(i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or

(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.

(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity

(i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or

(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

c. Provisions applicable to any recipient.

(1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.

(2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:

(i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(ii) Is in addition to all other remedies for noncompliance that are available to us under this award.

(3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this provision:

(1) “Employee” means either:

(i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

(ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(2) “Forced labor” means labor obtained by any of the following methods: 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.

(3) “Private entity”:

(i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).

(ii) Includes:

(A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(B) A for-profit organization.

(4) “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

SECTION VII: AGENCY CONTACTS

The USAID/RDMA contacts for this RFA are:

1. Patrick J. Wilson, Contracting Officer, email: pwilson@usaid.gov
2. Praveena ViraSingh, Acquisition & Assistance Specialist, email pvirasingh@usaid.gov

Greater Mekong Sub-Region Malaria Control Project

ATTACHMENT 1: CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The Recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the Recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the Recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the Recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the Recipient is providing the certification set out below.

Greater Mekong Sub-Region Malaria Control Project

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the Recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For Recipients other than individuals, Alternate I applies.

(4) For Recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The Recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about:

1. The dangers of drug abuse in the workplace;
2. The Recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

Greater Mekong Sub-Region Malaria Control Project

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The Recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The Recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing

Greater Mekong Sub-Region Malaria Control Project

Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year 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, or receiving stolen property;

(C) Are not 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) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Greater Mekong Sub-Region Malaria Control Project

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

USAID-RDMA-486-11-036-RFA
Greater Mekong Sub-Region Malaria Control Project

The Recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] 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 1 hereto. The Recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, App A. [5] 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.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The Recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the Recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
------	-------	---------------	---------------

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the Recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the Recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the Recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the Recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the Recipient does not have a DUNS number, the Recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the Recipient. The Recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the Recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an Applicant is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the Applicant has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

Greater Mekong Sub-Region Malaria Control Project

(a) **Applicability.** This applies to the procurement of goods and services planned by the Recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the Recipient in conducting the program supported by the grant, and not to assistance provided by the Recipient (i.e., a subgrant or subagreement) to a subgrantee or sub-recipient in support of the subgrantee's or sub-recipient's program. Provision by the Recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the Recipient plans to purchase under the grant:

\$ _____

(c) **Nonexpendable Property.** If the Recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
-------------------------------	----------	---------------------

(d) **Source, Origin, and Componentry of Goods.** If the Recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	EST. UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
-----------------------------------	----------	----------------------	---------------------	--------------------	---------------------	--------------------

(e) **Restricted Goods.** If the Recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/	QUANTITY	ESTIMATED	PROBABLE	PROBABLE	INTENDED
-------	----------	-----------	----------	----------	----------

Greater Mekong Sub-Region Malaria Control Project

DESCRIPTION (Generic)	UNIT COST	SOURCE	ORIGIN	USE
--------------------------	-----------	--------	--------	-----

(f) Supplier Nationality. If the Recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for NON-US
-----------------------------------	----------	------------------------	---------------------------------------	-------------	----------------------------

(g) Proposed Disposition. If the Recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the Recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the Recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
-------------------------------	----------	------------------------	----------	-------------

(h) The source and origin of procurements under this agreement will be subject to the Standard Provisions titled “USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)” and “Local Procurement”.

6. PAST PERFORMANCE REFERENCES

On a continuation page or as part of your cost proposal, please provide a list of the U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., received during the last three years, and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The Recipient, by checking the applicable box, represents that -

(a) If the Recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or

(b) If the Recipient is a non-U.S. entity, it operates as a corporation organized under the laws of _____ (country), an individual, a partnership, a nongovernmental nonprofit organization, a nongovernmental educational institution, a governmental organization, an international organization, or a joint venture.

Greater Mekong Sub-Region Malaria Control Project

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

PART III - OTHER CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

2. 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.

3. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING
[not required to be completed pre-award].

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: _____

Name: _____

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 1 hereto. The Recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, 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.

4. 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: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

5. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

6. 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 budget 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.