



Issuance Date: May 12, 2011
Closing Date: June 13, 2011
Closing Time: 09:00 (Brasilia time)

Subject: Request for Applications (RFA-512-11-000002)
Sustainable Landscapes Program

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Brazil, intends to award a Cooperative Agreement to implement a two-year program, subject to the availability of funds, as described in the following Request for Application (RFA).

The Recipient will be responsible for supporting Brazil's increased readiness for REDD+ (initiatives to Reduce Emissions from Deforestation and forest Degradation, including conservation, sustainable forest management, and enhancement of forest carbon stocks) at the sub-national level, specifically in the states of Mato Grosso and/or Pará. Please refer to Section I, the Funding Opportunity Description, for a complete statement of goals and expected results.

It is USAID policy not to award profit under assistance instruments such as cooperative agreements. 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. These are 2 Code of Federal Regulations (CFR) 230 (OMB Circular A-122 for non-profit organizations), 2 CFR 215 and 220 (OMB Circular A-21 for universities), and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the agreement when awarded.

Subject to the availability of funds, USAID intends to award one Cooperative Agreement (CA) for an amount up to approximately \$5,500,000 in total USAID funding to be allocated over a two-year period. USAID reserves the right to fund or not to fund the application submitted.

Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an

inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

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. Section VIII – Other information.

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."

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA will be issued. We expect to receive your questions related to this RFA no later than **Thursday, May 19, 2011**. Answers will be provided and distributed within three (3) business days.

All communications, including any questions concerning this RFA, must be submitted in writing by email to both: Ms. Cynthia L. Shartzter, Regional Agreement Officer, at cshartzter@usaid.gov and to Ms. Ana Paula Mendes, Assistance Specialist, at amendes@usaid.gov.

Your application should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of application. Applicant is requested to submit both technical and cost portions of its application in separate files as an attachment to electronic mail by the closing date and time indicated at the top of this cover letter. The Technical and Cost applications should be sent by e-mail to Ms. Cynthia L. Shartzter, Agreement Officer, at cshartzter@usaid.gov and to Ms. Ana Paula Mendes, Assistance Specialist, at amendes@usaid.gov by the closing date indicated above.

Hard copies should be sent within 2 working days after **May 19, 2011** to the following addresses, original documents to the Regional Agreement Officer in Peru and copies to the Assistance Specialist in Brazil. Please use regular postal service for sending these documents and ensure that no payment is required upon delivery. All postal costs are the applicant's responsibility. USAID will return to sender any submission that requires payment upon delivery or for any additional fees and/or charges.

(original documents)

Cynthia L. Shartzter
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Issuance of this RFA does not constitute an award commitment on the part of the Government. In addition, final award cannot be made until negotiations have been successfully concluded and funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, the potential applicant is hereby notified of these requirements and conditions for award. Application is submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

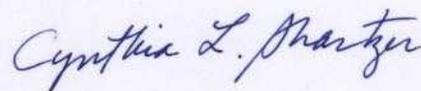
Receipt of this RFA must be confirmed by written notification (e-mail) to the Regional Agreement Officer and to the Assistance Specialist identified above. It is the responsibility of the recipient of this RFA document to ensure that it has been received in its entirety.

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

- (a) Section IV - Application and Submission Information;
- (b) Section I - Funding Opportunity Description;
- (c) This Cover Letter.

Thank you for your consideration of this USAID initiative.

Sincerely,



Cynthia L. Shartzter
Regional Agreement Officer
USAID/Peru

LIST OF ACRONYMS

| | |
|----------|--|
| ABC | Brazil's low-carbon agriculture program |
| ACT | Amazon Conservation Team |
| AOTR | Agreement Officer's Technical Representative |
| AT | Aliança da Terra |
| CA | Cooperative Agreement |
| CAR | Rural Environmental Farmland Registry |
| CDM | Clean Development Mechanism |
| COIAB | Coordination of the Indigenous Organizations of the Brazilian Amazon |
| CO2 | Carbon Dioxide |
| COP | Conference of Parties |
| CSF | Conservation Strategy Fund |
| DQA | Data Quality Assessment |
| EMBRAPA | Brazilian Agricultural Research Corporation |
| EMMP | Environmental Mitigation and Monitoring Plan |
| M&M | Mitigation and monitoring |
| EMR | Environmental Mitigation Report |
| GCC | Global Climate Change |
| GCF | Governors' Climate and Forest Task Force |
| GHG | Greenhouse Gas |
| GOB | Government of Brazil |
| ICMSE | Ecological Value-Added Tax |
| ICV | Instituto Centro da Vida |
| IEB/ IEB | International Institute of Education in Brazil |
| IFT | Tropical Forest Institute |
| IMAZON | Amazon Institute of People and the Environment |
| IPAM | Amazon Environmental Research Institute |
| IPCC | Intergovernmental Panel on Climate Change |
| IPÊ | Institute for Ecological Research |
| IR | Intermediate Result |
| ISA | Instituto Socioambiental |
| M&E | Monitoring and Evaluation |
| MMA | Brazilian Ministry of the Environment |
| MRV | Measurable, Reportable, and Verifiable |
| NGO | Non-Governmental Organization |
| PLAR | Policies, laws, agreements and regulations |
| PMEP | Performance Monitoring and Evaluation |
| PMP | Performance Management Plan |
| REDD | Reducing Emissions from Deforestation and Forest Degradation |
| REDD+ | REDD plus conservation, sustainable forest management, and enhancement of forest carbon stocks |
| RFA | Request for Applications |
| SEMA | State Environmental Agencies |
| SFB | Brazilian Forest Service |
| SIMLAM | Integrated System of Environmental Licensing and Monitoring |

| | |
|--------|---|
| SLAPR | System of Environmental Licensing of Rural Properties |
| TNC | The Nature Conservancy |
| UNFCCC | United Nations Framework Convention on Climate Change |
| USAID | United States Agency for International Development |
| USDA | United States Department of Agriculture |
| USFS | United States Forest Service |
| USG | United States Government |
| WHRC | Woods Hole Research Center |

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

I. PURPOSE

USAID/Brazil intends to award one Cooperative Agreement (CA) for an amount up to approximately \$5.5 million over two years, financed with USAID Global Climate Change/Sustainable Landscape funds. This CA will support Brazil's increased readiness for REDD+ (initiatives to Reduce Emissions from Deforestation and forest Degradation, including conservation, sustainable forest management, and enhancement of forest carbon stocks) at the sub-national level, specifically in the states of Mato Grosso and/or Pará.

II. BACKGROUND

Brazil contains approximately 70 percent of the Amazon basin, 20 percent of global biodiversity, 20 percent of the world's fresh water and 35 percent of the world's remaining tropical forests; it also accounts for approximately 2.5 percent of global greenhouse gas emissions through deforestation alone.

Deforestation and forest degradation in Brazil are driven in large part by the expansion of the agricultural frontier, principally in the Amazon region, but also in the Cerrado wooded savanna region, and to a lesser extent in the Atlantic Forest region. In the Brazilian Amazon, clearing and burning of forests have been concentrated in an “arc of deforestation” running along the eastern and southern portions of Maranhão, across Tocantins, Pará, Mato Grosso, Rondônia, and into southeast Acre. Forest clearing along this arc remains a challenge to governance at all levels, and is increasingly seen as unacceptable by Brazilian society. In Mato Grosso and Pará, in particular, this arc corresponds to an expanding and active agricultural frontier, which represents the nexus of Brazilian agricultural growth and its conservation efforts.

According to Brazil's Second National Inventory of Greenhouse Gases, released at the end of 2010, a majority of the country's emissions are classified as resulting from “Land use change and Forests”, with the Amazon biome accounting for 65 percent and the Cerrado for 24 percent of the total emissions in this category¹. For this reason, tackling deforestation is at the center of Brazil's strategy to combat climate change². The Government of Brazil (GOB) has taken a proactive approach to Amazon deforestation. In 2009 the GOB passed a National Policy on Climate Change³, which set a target to reduce greenhouse gas (GHG) emissions by between 36.1 percent and 38.9 percent by

¹ “Second National Communication of Brazil to the United Nations Framework Convention on Climate Change” (2010). From: http://www.mct.gov.br/upd_blob/0215/215070.pdf

² “Climate Change and Biodiversity in Brazil.” Secretariat for Social Communication, Presidency of the Federative Republic of Brazil. November 2010.

³ Federal Law Nr. 12.187 of December 29, 2009. From: http://www.planalto.gov.br/ccivil_03/ato2007-2010/2009/lei/l12187.htm

2020 from 1990 levels, and to reduce deforestation in the Amazon by 80 percent⁴.

As a result of this ambitious agenda, and in combination with national environmental policies, deforestation in Brazil has steadily decreased, and the harvest of tropical timber in the Brazilian Amazon has contracted by nearly 50 percent, as measured in total harvested volume. The annual rate of deforestation in the Brazilian Amazon has decreased from a high of 27,000 km² in 2004 to approximately 7,000 km² in 2009. In August 2010, the Brazilian Ministry of the Environment announced that the rates of deforestation recorded between August 2009 and June 2010 had decreased by 49 percent when compared to the same period the previous year.

State and local policies have also been successful in helping to curb rates of deforestation, including in the two states with the highest rates of deforestation: Mato Grosso and Pará. In Mato Grosso, the dialogue on reducing deforestation between government and non-governmental organizations (NGOs) has matured significantly, and a number of municipalities have declared their intention to become fully compliant with Brazil's environmental legislation. Pará, with substantial NGO involvement, has put in place a system of macro-zoning which includes massive creation of new state protected areas.

Both Mato Grosso and Pará are showing significant progress in the implementation of the Farmland Environmental Registry (Cadastro Ambiental Rural – CAR), a database of information about private rural properties. The database, managed by the state environmental agencies (SEMAs), includes information such as satellite maps showing the property's borders, land uses, and vegetation cover. The GOB requires that all rural properties in the country be registered in the CAR as a first step of being compliant with Brazil's Forest Code (which mandates that landowners preserve 50-80% of their land as native forest.) Registration and geo-referencing of lands in the CAR is to demonstrate compliance with the Brazilian Forest Code, enabling future monitoring to ensure that forest cover is maintained or reforested if needed.

Both states have an on-line integrated system of CAR and Environmental Licensing and Monitoring (SIMLAM) and have offered landowners amnesty on environmental fines for past abuses if they register their holdings in the CAR. Additionally, both states are members of the Governors' Climate and Forests Task Force⁵ (GCF), a collaborative effort between 16 states and provinces from Brazil, Indonesia, Mexico, Nigeria, and the U.S. that has emerged as one of the main initiatives around the world to bring subnational REDD+ efforts into ongoing national and international policy discussions and development.

Local level governments have also begun to play a role in reducing deforestation. In response to incentives created by environmental policies, municipal governments have

⁴ From: http://www.brasil.gov.br/news/history/2010/12/10/new-decree-details-brazil2019s-national-policy-on-climate-change/newsitem_view?set_language=en

⁵ Governors' Climate and Forests Task Force official website: <http://www.gcftaskforce.org>

shown an increased interest and willingness to promote deforestation reduction and even zero-deforestation strategies. In response to having been placed on a national registry of the worst deforested municipalities in the country, a “deforestation watch list” that effectively freezes agricultural credit to lands within the borders of listed municipalities, municipal governments in these areas are now asking for help regarding land titling, to register compliance with environmental rules set out in the Forest Code, and to develop land suitability maps (*zoneamento*) to guide future growth. A first step in the process is to ensure that lands are registered in the CAR.

Municipal governments also potentially have access to up to 25 percent of the revenues from the application of the Federal Tax Over Circulation of Goods and Services (Ecological Value-Added Tax, ICMSE), a tax on the sale of goods and services, which is reallocated to local governments that promote biodiversity conservation and other environmental initiatives. Municipal governments also have the flexibility to determine further redistribution criteria, which can include ecological criteria. The ICMS ultimately serves as a type of “fiscal compensation mechanism,” through which municipalities with protected areas on their territory are financially rewarded. Mato Grosso is one of the states where the ICMSE is already established.⁶

Landowners, too, are beginning to respond to the incentives created by environmental policies. Fiscal incentives, for example, are linked to registering lands in the CAR as it is required for:

- Access to public credit
- Permits to transport cattle
- Permits to clear forest
- Proof of registry of sustainable farming practices.

These initiatives appear to be working: Mato Grosso decreased its deforestation rate by 91 percent between 2004 and 2009, the largest decrease for any state over that time period; Pará decreased by 50 percent over the same period. However, despite this progress, deforestation in Mato Grosso and Pará still represented 71 percent of total deforestation across the Amazon in 2009.⁷

A. REDD+

Given that a large portion of Brazil’s greenhouse gas emissions are the result of deforestation and forest degradation, and taking into the account the dual role that forests play in climate regulation, serving both as a sink that sequesters carbon dioxide, and as a major source of global greenhouse gas emissions through deforestation and forest degradation, Brazil is in a unique position to benefit from increased international interest

⁶ For further information on the ICMSE, refer to: <http://www.icmseecologico.org.br>.

⁷ Butler, Rhett, 2009. State Deforestation in the Amazon. From <http://www.mongabay.com/brazil-state-deforestation.html>

in payment schemes linked to the mechanism known as REDD (Reducing Emissions from Deforestation and forest Degradation). In theory, REDD initiatives have the potential to deliver large cuts in carbon emissions at a low cost, within a short time span.⁸ REDD proposes to create financial incentives for maintaining forest carbon stocks, theoretically making it more profitable to keep forests healthy than to degrade and destroy them. REDD was first accepted at the United Nations Framework Convention on Climate Change (UNFCCC) talks in Bali, Indonesia in 2007, and at the 2010 UNFCCC talks in Cancún, Mexico, countries—including Brazil—agreed upon an upgraded version of the emission reduction mechanism, REDD+, which goes beyond emissions from deforestation and degradation to include activities focused on conservation, sustainable forest management, and the enhancement of forest carbon stocks. REDD+ calls on each country to develop a national plan with a benchmark emission level, systems to monitor forests, and environmental and social safeguards, including the rights of indigenous communities. Both the GOB and Brazilian civil society have shown considerable interest in REDD+ as a strategy at both federal and state levels⁹ and are in the forefront of discussions on possible forms of payments for ecosystem services, be they protection of carbon, water, or biodiversity.

Although the concept of REDD+ is still new, lessons learned from early implementation of pilot activities globally include the importance of: 1) creating effective on-the-ground partnerships and capacity; 2) ensuring that forest carbon initiatives are backed by rigorous technical and scientific analyses; 3) attracting the needed financial resources for development; 4) successfully engaging stakeholders in project design and implementation; and 5) ensuring active government support to field activities.¹⁰

B. REDD+ and the United States Government (USG)

The United States has committed to helping reduce greenhouse gas emissions from land use. At the December 2009 UNFCCC meeting in Copenhagen, the USG made a landmark commitment of \$1 billion over three years (2010-2012) for reduced emissions and increased sequestration related to forests (i.e. forest mitigation), which was referred to as REDD+ in the Copenhagen Accord.

USAID is fulfilling this commitment in part through funding for Sustainable Landscapes (reduced net greenhouse gas emissions from the land use sector). The goal of Sustainable Landscapes activities is to help countries reduce greenhouse gas emissions and enhance sequestration of carbon associated with land use and forest management. According to the USAID Sustainable Landscapes description, priority should be given to programs that “expand activities that reduce emissions from tropical forest destruction and degradation

⁸ Examples of cost estimates may be found here: http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/sternreview_index.htm or the REDD options assessment report http://www.redd-oar.org/links/REDD-OAR_en.pdf

⁹ Evidence of the importance and interest of state-level REDD+ planning can be seen in the Governors of the Amazon States’ letter to the President calling for action on reducing deforestation and request to include market based approaches in REDD+ found at http://www.gcftaskforce.org/documents/2009-10-14_Final_GCF_Letter.pdf

¹⁰ Harvey C. A., Zerbock O., Papageorgiou S. and Parra A. 2010 What is needed to make REDD+ work on the ground? Lessons learned from pilot forest carbon initiatives. Conservation International, Arlington, Virginia, USA. 121 pp.

in order to avoid the worst effects of global climate change.” USAID should increase support for programs that assist countries in building their institutional and governance capacity to manage forest resources in a manner that demonstrates measurable, reportable and verifiable (MRV) emissions reductions; develops strong forest governance laws; and improves law enforcement against illegal logging. These programs should be transparent and should respect the rights of indigenous and forest-dependent people, who should be consulted and included in the design and implementation of programs.”¹¹

USAID sustainable landscapes investments are meant to contribute to moving a country into a low-emissions, high-sequestration development pathway in the land use sector. Investments are intended to be strategic and transformative and contribute to national strategic processes addressing climate change in client countries. Key aspects of early action will be institutional and human capacity building, as well as creating enabling environments through policy actions. By definition, USG supported Sustainable Landscapes programs must address one or more of the following policy priorities:

1. Creation or implementation of national or sub-national REDD+ strategies;
2. Greenhouse gas inventories and accounting;
3. Forest carbon market readiness; and
4. Targeted field demonstrations and investments.

III. DEVELOPMENT CHALLENGE

Despite an actively advancing agricultural frontier that has helped fuel Brazil's international emergence as an agricultural powerhouse, the Brazilian government has been an innovator in both policies and practices to preserve its tropical forest resources. Forty percent of the Amazon has been set aside as officially protected public land, and the GOB, through the Brazilian Forest Code, requires a significant percentage of private lands in the Amazon to be conserved. This, in combination with innovative policies designed to create incentives for local governments and private landholders, and increasing law enforcement, has helped Brazil realize dramatic reductions in deforestation in the Amazon.

However, forest conversion to agricultural and pastoral use continues, particularly along the agricultural frontier in the Amazon as national and global markets for food drive the conversion of forested lands to agriculture. As cleared land is still considered more valuable than forested land, landowners often make unsustainable land management decisions, resulting in low productivity, abandonment and further clearing. And despite an increasing demand for sustainably produced products, without strengthening current incentives and/or designing alternative economic incentives for conserving forest ecosystems and their important services, including climate regulation and watershed protection, deforestation and land degradation and the resulting emissions of greenhouse gases will continue.

¹¹ See USAID REDD+ Strategy:
http://www.usaid.gov/our_work/environment/climate/docs/UnitedStatesREDD+Strategy.pdf

Moreover, to meet the GOB's ambitious national emissions and deforestation targets, Brazil will need to realize continued dramatic decreases in the rates of Amazon deforestation. Establishment of publically protected lands continues to be necessary, but not sufficient, to meet the targets that the federal government has set. Forest conservation – particularly on private lands, which represent approximately 24% of the Amazon – continues to be an important part of Brazil's strategy and is achievable as a complement to the establishment and maintenance of officially protected lands, and will require a strong mix of command and control policies with effective incentives for individuals to conserve their forested landholdings.

Brazil has shown considerable interest in REDD+ as a strategy to help meet its emissions and deforestation goals, and has well-articulated national goals in terms of emissions targets. However, national level policies alone will be insufficient to meet these targets. Achieving goals will require a coordinated effort with state and municipal governments—particularly those along the agricultural frontier—who have not yet advanced as far as the national government on REDD+ plans and policies, but those successes must be able to “roll up” into the national plans that are being developed. For this to happen, state and municipal level governments must themselves develop well-articulated policies and targets that align with national efforts.

IV. PROGRAM DESCRIPTION

A. GOALS AND OBJECTIVES

USAID/Brazil intends to support the development of sub-national REDD+ readiness in Brazil by: 1) Increasing the capacity of state and municipal governments to reduce greenhouse gas emissions from land use and land use change; 2) Increasing the use of land management best practices on private lands; and 3) Strengthening sub-national capacity to measure, report, and verify emissions. Given the need for sub-national planning and incentives to reduce emissions, and the fact that the agricultural frontier states of Mato Grosso and Pará, despite strong progress, remain two of the biggest greenhouse gas emitters, USAID/Brazil's Sustainable Landscapes Program will focus on one or both of those states and their municipalities.

For further information on the USAID Sustainable Landscapes funding pillar, please refer to:

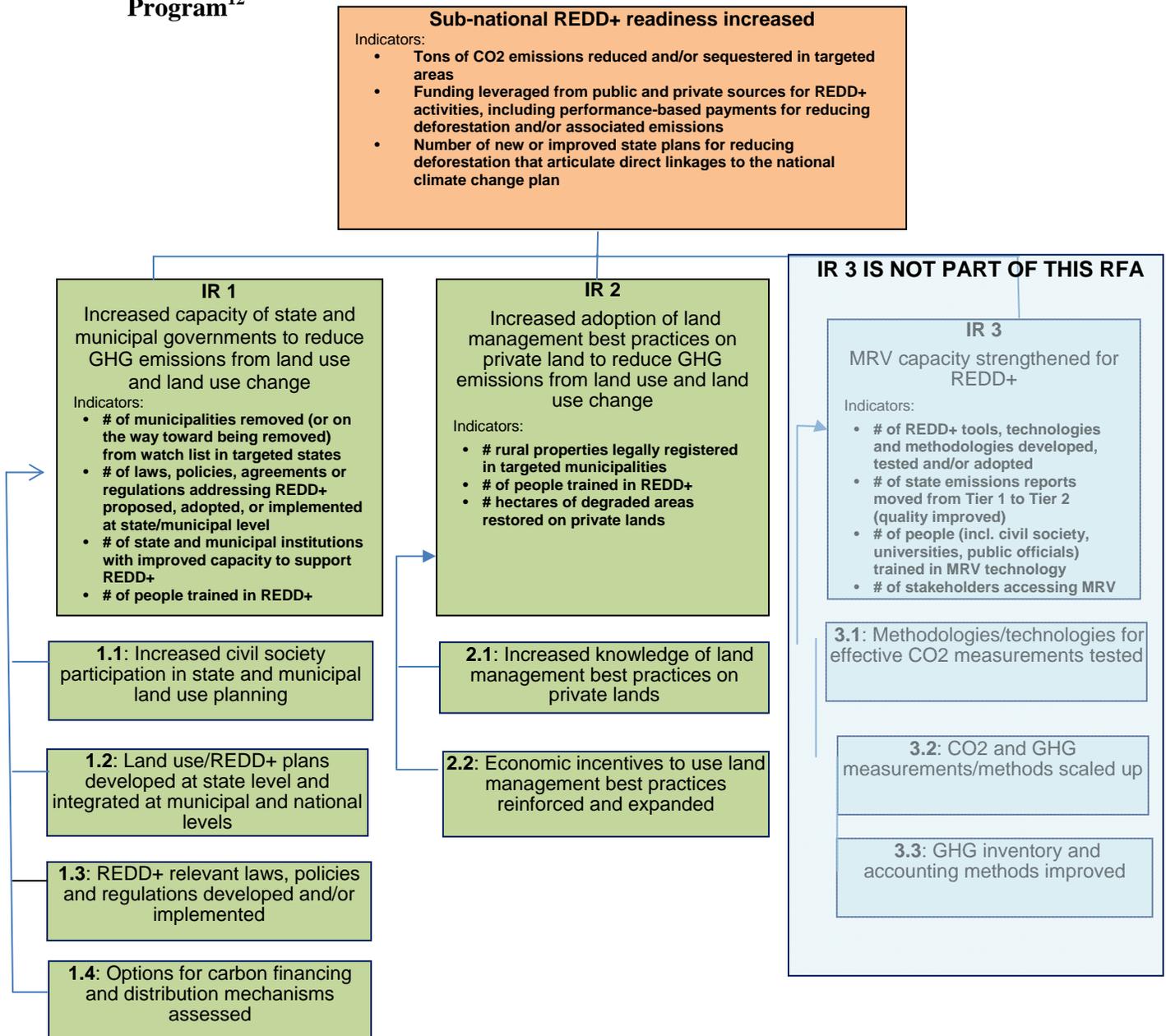
http://www.usaid.gov/our_work/environment/climate/policies_prog/sustainable_landscapes.html

B. EXPECTED RESULTS

Figure 1 below provides the results framework for the USAID/Brazil Sustainable Landscapes Program. USAID/Brazil's Sustainable Landscapes goal is to Increase Sub-national REDD+ Readiness in Brazil. To do this, three Intermediate Results (IR) must be achieved. The recipient of this award is expected to work towards the achievement of

both Intermediate Results, 1 and 2; Intermediate Result 3 is already being implemented by the International Program of the U.S. Forest Service (USFS) in collaboration with a number of Brazilian organizations and is **NOT** a part of this RFA.

Figure 1: Results Framework for USAID/Brazil’s Sustainable Landscapes Program¹²



¹² Only the required indicators are shown in this framework. More illustrative indicators and more thorough explanations of Intermediate Results are described below.

Sub-national REDD+ readiness increased

In states with high growth rates and an expanding agricultural frontier, maintaining forest cover and economic growth have been viewed as a tradeoff. Addressing this dynamic is important to reduce deforestation in states along the agricultural frontier, and doing so could provide models for other states to consider. Meeting the variety of challenges requires strengthening capacity, coordination, and participation among key stakeholders as well as reinforcing and expanding existing market and other financial incentives for improved land use practices.

National policies, including the Brazilian Forest Code, already include important forest conservation objectives. Improved compliance with existing regulations, along with incorporation of best practices in land management, can help to stabilize the agricultural frontier and reduce greenhouse gas emissions from land use change.

Direct payments combined with a strong mix of other incentives (such as promotion of access to credit lines and market opportunities, improved production practices, and tax incentives) could minimize or stop destructive practices. Finance mechanisms for achieving reduction of deforestation under REDD+ could take many forms including direct payment to landowners; financing of government programs that lead to reduction in deforestation, such as improved education, or health; changes in tax policy; or support for improved land use management practices.

Expected Results:

- State-level REDD+ strategies developed that reflect broad stakeholder input, links to national level objectives and targets, active municipal participation and clearly articulated roles and responsibilities of implementing agencies.
- Improved state-level measurement and tracking of deforestation and use of data for REDD+ planning and implementation (to be achieved in alignment with activities under IR 3)
- Wide consultation and identification of options for benefit sharing including access to potential financial mechanisms as well as pathways for benefit distribution and transparency of transactions.
- Proven models offering sufficient knowledge and incentives for private lands to comply with existing environmental policies and laws (e.g., the Forest Code and others).

Required (underlined) and Illustrative Indicators¹³:

¹³ Illustrative indicators serve as examples and bidders are not limited to these. Bidders are encouraged to propose their own relevant indicators but must include the required indicators.

- Tons of CO2 (carbon dioxide) emissions reduced and/or sequestered in target areas
- Value of funding leveraged from public and private sources for REDD+ activities, including performance-based payments for reducing deforestation and/or associated emissions
- Number of new or improved state plans for reducing deforestation that articulate direct linkages to the national climate change plan
- Percentage of state targeted emission reductions achieved towards 2020 goal

Three Intermediate Results (IR) support the achievement of the Program (Fig. 1); two of these IRs support the achievement of this specific RFA:

IR1: Increased capacity of state and municipal governments to reduce GHG emissions from land use and land use change

REDD+ has garnered considerable national attention, but states and municipal governments have not had as much exposure to the concept and certainly not the same amount of exposure in terms of how to implement REDD+ Programs. Increasing state and municipal capacity to do so is critical in increasing their ability and readiness to develop and implement REDD+ policies that support national REDD+ goals.

Required (underlined) and Illustrative Indicators:

- # of municipalities removed from the official watch list of municipalities with the highest deforestation rates or showing significant progress to be removed from Official List of Municipalities with the highest deforestation rates (i.e., % of municipal area mapped)
- # of laws, policies, agreements or regulations addressing REDD+ proposed, adopted, or implemented by municipal and state authorities
- # of state and municipal institutions with improved capacity to support REDD+
- # of people receiving training in REDD+
- # of state level REDD+ strategies developed
- # of new environmental compliance surveys carried out on private lands in target municipalities
- # of REDD+ proposals by municipal and/or state governments to carbon finance funds (e.g., the Amazon Fund or others)

Four Sub -Intermediate Results (Sub-IRs) support the achievement of this IR:

Sub IR 1.1: Increased civil society participation in state and municipal land use planning

Broad civil society participation is necessary for REDD+ plans to succeed. Relevant civil society stakeholders may include but are not necessarily limited to: private landowners, indigenous and other traditional settler communities, local and regional producer associations, municipal associations, environmental organizations, and universities or other research institutions.

This element should be cross cutting with the other elements of IR1. Design of REDD+ financing mechanisms and the inclusion of appropriate environmental and social safeguards are areas of particular stakeholder interest. Although Sub-IR 1.2 focuses on management of private lands, stakeholder participation under this element should address issues related to both private and public land.

Where appropriate, activities to increase stakeholder participation should interact with existing national and state- level processes to include stakeholder participation in REDD+ programs, but may also focus on more local—including municipal—level activities which will inform state-level planning processes.

Sub IR1.2: Increased capacity of state and municipal governments to develop, integrate, and implement state-level REDD+ planning

This result is expected to be achieved in close consultation and collaboration with state and municipal governments. This includes identifying capacity gaps and developing agreed-upon plans for addressing these needs. State-level REDD+ plans should consider environmental and land-use policies which are already in place or in development, such as state-level plans for prevention and control of deforestation, ecological and economic zoning, and land registry systems.

Although a national REDD+ strategy is expected to guide national REDD+ implementation in Brazil, it is expected that state governments will play an important role in determining how the national strategy is implemented within the state to reflect the very different conditions and issues each state faces. State-level REDD+ programs should include considerations for reporting on emission reductions from forests that address both national and state-level reporting needs, as well state-level planning processes that incorporate planning and implementation at the municipal level.

Sub IR1.3: Increased capacity of state and municipal governments to develop and implement REDD+ relevant laws, policies and regulation at the municipal and state levels

This result is expected to be achieved in close consultation and collaboration with state and municipal governments. It includes identifying capacity gaps and developing agreed-upon plans for addressing these needs. Particular focus is expected to ensure the effective participation and interaction of municipal-level governments to develop and implement relevant laws and policies to reduce deforestation and forest degradation. Increased capacity and interaction between state and municipal governments is expected to result in laws and policies that more closely address the needs and conditions of local stakeholders to reduce deforestation. States will also need to effectively incorporate new national or existing laws affecting REDD+ implementation, such as the development of legal decisions on carbon ownership rights.

Other key relevant areas for work towards this result are: implementation and enforcement of the Brazilian Forest Code and registry of private lands in the Rural Environmental Farmland Registry (CAR). If demand for farm registry increases due to various government and market incentives, municipalities will need to increase their capacity to register and monitor properties.

Sub IR 1.4: Options for carbon financing and distribution mechanisms assessed at state level with input from municipalities

State-level carbon financing mechanisms will need to be integrated and aligned with national REDD+ financing and address key issues, such as defining benefit flows from state to municipalities and/or communities. They will need to determine if and how state programs will include payments for project-level activities and how to incorporate both private and public lands. States such as Mato Grosso and Pará, which have large areas under private ownership, might be interested in a different framework for packaging carbon credits and managing payments than states with larger areas of public land. Addressing how states incorporate project-level REDD+ credits such as those from the voluntary carbon market into state- and federal-level programs is another important consideration.

While deciding upon and developing a financial mechanism capable of receiving payments based on demonstrable reduction in forest carbon emissions is probably beyond the initial two-year scope of this activity, the longer-term objective is to prepare the frameworks and structures to capture this carbon financing under a REDD+ program. Broad-based discussions and analyses are needed, involving many stakeholders to narrow down options and settle on a final approach or framework that will provide adequate incentives, transparency, and equity.

IR 2: Increased adoption of land management best practices on private land to reduce greenhouse gas emissions from land use and land use change

While CAR registration is an important first step in land management and helps with local-level monitoring of deforestation, it does not require restoration of degraded areas. Furthermore, landowners will need to engage in improved production practices to maintain or increase yields without expanding areas under pasture or crops. Landowners

need to adopt new technologies and sustainable production practices and find cost-effective means to restore degraded areas. **Providing technical assistance to landowners for agricultural practices related to soy and cattle is *not* permitted with USAID funding**, but EMPRAPA (Brazilian Agricultural Research Corporation) and other agencies in Brazil have well-developed technical packages for improved production practices as part of Brazil's low-carbon agriculture program-ABC-Agricultura de Baixo Carbono (for further information on ABC, please refer to: <http://www.agricultura.gov.br/desenvolvimento-sustentavel/programa-abc>).

Besides preventing illegal logging and expanding the legal farmland registry, there is also a critical need for investments aimed at supporting sustainable land-use practices and preventing the continuation of unsustainable practices by landowners and local communities, such as rural settlers and indigenous peoples. Particularly where private lands border officially designated indigenous lands, protected areas, and rural settlements, working with indigenous communities and settlers may be crucial in promoting sustainable land use and addressing other threats to forest conservation.

Required (underlined) and Illustrative Indicators:

- # rural properties legally registered in the CAR targeted municipalities
- # of people trained in REDD+
- # hectares of degraded areas restored on private lands
- % change in deforestation rates on private lands in target municipalities
- # of landowners and/or rural producers' organizations engaged with local government agencies to enforce land-use regulations
- # of new fire prevention initiatives involving landowners are implemented by municipal and/or state authorities.
- Reduction in area burned (using various proxies)
- # of requests for authorization to use fire
- # of success stories disseminated to municipal agencies, private landowners and other relevant stakeholders, through public events and mass media.

Two Sub Intermediate Results support the achievement of Intermediate Result 2:

Sub IR 2.1 Increased knowledge of land management best practices on private lands in target municipalities

Silvopastoral systems provide a valuable option to increase carbon stocks with many positive benefits for sustainable management, simultaneously offering carbon sequestration and economic benefits from the trees, either at the time of harvest or via

fruit or nut crops or soil and water conservation. Overall, silvopastures can provide economic returns while creating a sustainable system with many environmental benefits, including carbon sequestration.

Restoring forest cover for riparian areas or to increase forest cover for the legal reserves does not need to be done through costly efforts of tree planting. If restored land is protected from cattle grazing and is near the forest edge, natural regeneration can quickly take hold. Other techniques being used in the Amazon include direct seeding with native species to facilitate natural regeneration. In areas with severe erosion or soil compaction, soil conservation or soil improvement practices are needed.

Additionally, introducing best practices to reduce wildfires and building capacity to effectively fight fires will be useful for reducing other sources of deforestation and carbon emissions.

Sub IR 2.2 Economic incentives to use land management best practices reinforced and expanded in target municipalities

A combination of incentives (both positive and negative) can be used to provide the right balance to bring land management practices into alignment with Brazilian law and, increasingly, into alignment with the expectations of consumers. While there have been notable gains, continuing to strengthen and consolidate enforcement initiatives and economic incentives relating to land management practices is required.

Economic incentives for environmental conservation and sustainable land use generally come from two sources: 1) government policies, laws and regulations; and 2) markets, through supply chains. Both offer opportunities and challenges. Government incentives seem to be fairly consolidated, but good ideas and practices in one state could be replicated in others. Market-based incentives that send strong signals to producers along supply chains are more difficult to develop. These efforts are much more incipient and fragile (refer to the ‘Environmental Governance and Responsible Production’ project summarized in section IV)

GEOGRAPHIC AREAS OF FOCUS

All project activities must occur in Mato Grosso and/or Pará. With deforestation rates in of Pará and Mato Grosso accounting for approximately 71 percent of Brazil’s deforestation, and since 36 of the 42 municipalities with the highest deforestation rates on the “watch list” compiled by the Brazilian Ministry of the Environment (MMA) are located in these two states, USAID/Brazil considers these states as priority geographic areas.

C. RELATIONSHIP TO OTHER MISSION PROJECTS

USAID/Brazil currently has three Cooperative Agreements (CA) and an Interagency Agreement (USFS) in the States of Pará and Mato Grosso and it is expected that the

recipient selected from this RFA will collaborate, as appropriate, with those consortia that operate within the geographic scope of this RFA. Although not all current activities have a specific REDD+ work objective, each is engaged in closely related on-the-ground activities, many working with forest management, land-use management, and/or with indigenous communities that could provide important program synergies with the recipient of this award.

For further information on these consortia, please see Annex 1 for their summarized Annual Reports for Fiscal Year 2010.

Brief summaries of ongoing Mission projects operating in Pará and Mato Grosso:

1. Environmental Governance and Responsible Production (EGRP)- also known as Responsible Sourcing in Mato Grosso and Pará; partners: The Nature Conservancy (TNC- lead), Instituto Socioambiental (ISA), Instituto Centro da Vida (ICV); project ends in September 2012; operates in Pará and Mato Grosso. Cluster assisted with removal of municipalities of Paragominas and Querencia from the national “watch list” of municipalities with high deforestation rates.
2. Governance in Environmental Frontiers; Aliança da Terra (AT- lead), Amazon Environmental Research Institute (IPAM), and Woods Hole Research Center (WHRC); project ends in September 2013; operates in Pará and Mato Grosso.
3. Ethno-Environmental Corridors in the Brazilian Amazon (Garah Itxa); Instituto Internacional de Educação do Brasil (IIEB/IEB- lead), Amazon Conservation Team (ACT), Coordenação das Organizações Indígenas da Amazônia Brasileira (COIAB), Conservation Strategy Fund (CSF), Kaninde – Associação de Defesa Ethnoambiental, and Associação Metareila do Povo Indígena Surui; project ends in September 2012; operates in Pará, Mato Grosso, and Rondônia.
4. Forest Enterprise Cluster: US Forest Service - USFS (lead), Amazon Institute of People and the Environment (IMAZON), Instituto Florestal Tropical (IFT), Instituto de Pesquisas Ecológicas (IPE), and IIEB; project ends in April 2012; operates in Pará, Mato Grosso, and Amazonas.

D. OTHER CONSIDERATIONS

Gender and Equity

USAID is committed to supporting cross-sectoral approaches to climate change that fully integrate the appropriate socio-economic factors for undertaking such approaches in distinct cultural and geographic settings. These factors include, among others, issues of equity and participation with particular emphasis on mainstreaming gender issues. Initiatives supported under this program should treat gender considerations and relevant socio-economic considerations as core factors to be incorporated throughout policy formulation, planning, evaluation, decision making procedures and implementation. In

addition, gender mainstreaming involves giving attention to gender equality in relation to institutional practices that set the overall conditions for conservation and development.

Regional Presence

Given the challenges associated with work in the Amazon region, the partner will need to demonstrate an existing base of operation within Brazil, and if not currently in existence, should consider the potential for increasing the impact of this activity through a regional presence (offices, business center for field staff, or other) that will bring project resources closer to the beneficiaries. The partner will propose a regional approach and will be expected to begin putting the necessary resources in place at the time of project award.

Coordination with other USAID and Donor Activities

Coordination with other donors working in the targeted areas will be critical. The partner shall coordinate with project implementers of other donors as well as with the USAID projects noted above. USAID may identify potential coordination activities as part of its responsibilities in this area. However, the partner shall explore opportunities to coordinate with other donor projects as well and suggest to USAID potential areas for collaboration. There are several potential linkages and/or synergies between this activity and existing USAID projects that have the potential to foster project efficiencies.

Partnerships and Leveraging

The applicant is highly encouraged to seek partnerships with a range of institutions and organizations at the local and/or national level, in order to accomplish the stated objectives. Given that work is expected to occur along an active agriculture frontier, engagement with the private sector will be critical to address incentive structures at the local level. Although open to applications that propose traditional public/private partnerships models, applicants are encouraged to think creatively about the economic incentives that exist or that could be created, and engage with the private sector to leverage such incentives in such a way as to help meet program objectives. Because of the strong focus on the need to build alliances with the private sector, private sector leverage is expected to supplement core program funding for the implementation of the project.

Effective Collaboration with Sub-national Governments

All relevant Brazilian government agencies, functionaries, political leaders, and ministries, at the municipal, state, and/or national level shall be consulted extensively during the implementation of this activity to provide support and sustainability of all activities implemented.

E. AWARD ADMINISTRATION

22 CFR 226, OMB Circulars, and the Standard Provisions for Recipients will be applicable. These documents may be accessed through the world-wide-web at:

<http://www.usaid.gov/business/regulations/>

This includes the new Mandatory Standard Provisions for Assistance Awards: Central Contractor Registration and Universal Identifier (October 2010), Reporting Subawards and Executive Compensation (October 2010), Trafficking in Persons (October 2010).

APPLICABILITY OF 22 CFR PART 226 - MAY 2005

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

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

[END OF SECTION I]

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide an amount up to approximately \$5,500,000 in total USAID funding over the two-year life of the activity.

B. Number of Awards Contemplated

USAID intends to award one Cooperative Agreement from this RFA. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

The period of performance anticipated herein is for two years, through September 30, 2013. The estimated start date is on or about September 30, 2011.

D. Type of Award

USAID/Brazil expects to award one cooperative agreement.

E. Substantial Involvement

It is anticipated that USAID will be substantially involved during the period of the cooperative agreement. The following minimal substantial involvement elements will apply to the award:

- 1) Approval of the Recipient's Life-of-Project Implementation Plan and Annual implementation work plans;
- 2) Approval of Key Personnel. For initial appointment and changes of Key Personnel:
 - a) Project Manager;
 - b) Natural Resource Management/REDD+ Advisor
 - c) Financial Officer
- 3) Agency and Recipient Collaboration
 - a) Collaborative involvement in selection of Consortia's advisory/governance committee members;
 - b) Participation as member of this type of technical/programmatic committee;
- 4) Approval of major contracts or sub-awards:
 - a) Approval of Consortia's Performance Monitoring and Evaluation Plans; and
 - b) Approval of proposed changes in consortium makeup.

The recipient would flow down these substantial involvement elements in its sub-awards.

F. Key Personnel

USAID will approve the personnel filing those positions considered to be essential to the successful implementation of the award. The Key Personnel positions for this award are:

- Program Manager
- Financial Officer
- Natural Resource Management/REDD+ Advisor

This is the suggested minimum staff requirement for Key Personnel. The applicant is required to identify/propose an appropriately qualified and experienced individual for each Key Personnel position as part of the application. The approved individuals will be named in the award. Any change in Key Personnel requires USAID prior approval. If the need for additional long-term technical staff arises, the Recipient may include additional long-term technical staff upon written approval from both the Agreement Officer and the USAID Agreement Officer's Technical Representative (AOTR), following justification and description of responsibilities by the Recipient.

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

A. APPLICANTS

All eligible applicants must meet the following criteria:

U.S. and Non-U.S. organizations such as non-profit organizations (or for-profit companies willing to forego profits), including private voluntary organizations, faith-based organizations, universities, research organizations, professional associations, and relevant special interest associations.

B. COST SHARE

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from its own, private or local sources for the implementation of this project. Contributions can be either cash or in kind (in accordance with OMB Circular A-110 and 22 CFR 226.23).

The USAID/Brazil requests that the recipient organization contribute at least 3% of the total federal share in cost share.

Recipient's cost share shall be contributed throughout the life of the agreement, commensurate with implementation, reported quarterly, and meet the standards set in 22 CFR 226.23.

Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. POINT OF CONTACT

All communications, including any questions concerning this RFA, must be submitted in writing both to Ms. Cynthia L. Shartzter, Regional Agreement Officer, via email at cshartzter@usaid.gov and to Ms. Ana Paula Mendes, Assistance Specialist, via email at amendes@usaid.gov.

B. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information - Nonconstruction Programs**, and
- **SF-424B, Assurances - Nonconstruction Programs**

Copies of these forms may be found through the following link:

http://www07.grants.gov/agencies/approved_standard_forms.jsp

C. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements (except as specified below). Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**;
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see **22 CFR 227**);
- c. A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- d. A signed copy of the certification regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;
- e. A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking”;
- f. Survey on Ensuring Equal Opportunity for Applicants, which can be accessed by

pressing Control Key and clicking on the following link: [Equal Opportunity](#), which will address you to <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> and

g. All applicants must provide a Data Universal Numbering System (DUNS) Number. Applicants shall do the following in order to register a DUNS number:

- access the web page: <http://www.dnb.com>;
- click on D&B D-U-N-S Number;
- click on “Are you a government contractor, vendor, or grant recipient?”;
- click on “Click here to request your D-U-N-S Number via the web”;
- Follow the instructions.

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.

**h. 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.fsr.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.fsr.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/excomp.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.

D. APPLICATION PREPARATION GUIDELINES

For the purposes of this RFA, the term “applicant” is used to refer to the prime and with any proposed partners.

The application (a single application to be submitted by the prime applicant) received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the applications. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration.

The application shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical portion of the application should be submitted in original and 2 copies and cost portions of application in original and 1 copy. The copies of the technical and cost/business applications must be separately placed in sealed envelopes clearly marked on the outside with the following words "RFA-512-11-000002 - Technical or Cost/Business (as appropriate) Application." These individual envelopes must then be bundled together to be received as one complete package.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the two locations indicated on page three of the cover letter accompanying this RFA (original documents sent to the Regional Agreement Officer in the Regional Contracts Office in Peru and copies sent to the Assistance Specialist in Brazil). Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Technical application should be specific, complete, and concise. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

Applicant should retain for its records one copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

E. TECHNICAL APPLICATION FORMAT

The Technical Application shall contain the following sections: (1) a Cover Page; (1) an Application Summary; (3) a Program Narrative; (4) an Implementation Plan; and (5) four Annexes (Resumes & Letters of Commitment). Page limitations are specified below for each section; applications must be on Letter size 8-1/2 by 11 inch paper, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

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

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

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ____; 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."

E.1 Cover Page: A single page with the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified; followed by any proposed subawardees (hereafter referred to as "subs"), including a brief narrative describing the unique capacities/skills being brought to the program by each sub. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address, and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

E.2. Application Summary: A two page brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

E.3. Program Narrative: In twenty (20) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The technical description should provide in a succinct yet comprehensive manner a clear and complete statement of proposed activities; the approaches that will be implemented to ensure achievement of results; the expected overall impacts of the activities; the monitoring and evaluation of activities and the proposed indicators used to assess progress.

The technical description should also identify partnerships with local and U.S. (if applicable) organizations, their specific involvement in the proposed activities, operational arrangements for collaboration and potential cost sharing. Governance and administrative arrangements should be clearly presented including: management approach to the overall execution of the activities; organizational structure; administrative arrangements; logistical support; key personnel involved and corresponding roles and responsibilities.

E.4. Implementation Plan: In up to five pages please provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.

E.5. Monitoring, Evaluating and Reporting

Monitoring is a key element of USAID programs because it allows USAID to demonstrate the impact of the activities it supports. The application should describe how the applicant plans to monitor and evaluate the effectiveness and impact of the program. Also, the application should identify sources and means of collecting data, as well as who will be responsible for gathering and assessing this information. Explain the extent to which the applicant will make data gender specific, if applicable.

The successful Applicant will be required to report annually on the required indicators using an approved methodology to collect and record data. Data Quality Assessment (DQA) will be conducted by USAID on a bi-annual basis, at a minimum. Use of additional programmatic indicators is optional, but encouraged. Applicants must clearly identify how the proposed program will contribute to impact and result indicators.

The successful Applicant will meet USAID's minimum reporting requirements, i.e., technical and financial reports to be submitted on a quarterly basis, within 30 calendar days after the end of the reporting period; and annual data collection to be submitted by October 30 of each calendar year.

The Recipient will be requested to submit quarterly reports covering both technical and financial issues. Reports must, at a minimum, evaluate program's overall performance, describe success stories, justify underachievement of targets, describe lessons learned, evaluate project sustainability, and recommend changes to the program.

At the completion date of the Grant, the grantee will be requested to undertake a close-out plan.

E.6. Annexes:

The following information shall be included in annexes and will not count towards the page limit:

Resumes and Letters of Commitment

Applicant shall include in this Annex the resumes and letters of commitment for each individual who will work at least 75% of his/her time on the program. The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each.

F. COST/BUSINESS APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover 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. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award 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 details.

1. The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The cost application should be for a period of up to 2 years using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result as well as overall. Applicant shall fill out Annex A – Matrix for Budget Preparation - for this purpose.
4. The Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners,

including identification of the applicant with which USAID will interact for purposes of Agreement administration, identity of the applicant that will have accounting responsibility, how Agreement effort will be allocated, and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

5. The required Certifications listed in Part C of this Section must be included with the cost application.
6. The proposed budget should provide cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a chart containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost.

7. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure that the Recipient will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial, and related program reporting procedures.
8. To support the costs proposed, please provide detailed budget notes/narrative for all costs, explaining how the costs were derived. The following section provides guidance on line items.
9. In addition to providing summary cost data in the SF424A format noted above, applicants are required to summarize cost data using result-focused budgeting (RFB) in cost applications submitted in response to this solicitation. RFB is a customer-based, performance-driven, results-oriented budget system underpinned by outcome management. Outcome management is a management approach that focuses on the development results achieved by providing a service.

RFB involves summarizing cost data to corresponding development results/outcomes. Cost data must be summarized in both the SF424A and RFB categories. If an input serves multiple development results and program elements, the applicant must allocate the input across the corresponding results and provide a rationale in the budget narrative for the method used for each allocated input.

Cost application must also include all supporting input-based budgeting for both

summary formats and comply with other instructions for cost applications (e.g., breakout of costs at the country versus headquarters level, if applicable) contained elsewhere in this solicitation.

10. Budget Notes: an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs, according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the applicant's normal travel policies per organization's written policies and procedures (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, meeting the Branding Strategy and Marking Plan requirements, meeting the environmental compliance requirements, etc. The narrative should provide a breakdown and support for all other direct costs.

Seminars and Conferences - The application should indicate the subject, venue, and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

Foreign Government Delegations to International Conferences - Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public

international organization, except as provided in ADS Mandatory Reference “Guidance on Funding Foreign Government Delegations to International Conferences (<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>) or as approved by the AOTR.

Source and Origin Requirements - Goods and services provided by the Recipients under this USAID-financed award shall have their source and origin in the United States of America – Code 000 unless covered under the USAID Administrator’s approved blanket waiver authorizing local procurement from the cooperating country in an amount of up to \$5 million of commodities and services.

This waiver authority would be provided under the provision in the Mandatory Standard Provisions for U.S. Nongovernmental and non-U.S. Nongovernmental recipients “Local Procurement” of the cooperative agreement for the purchase of goods and services supplied by local businesses, dealers or producers with the following limitations and requirements.

The waiver includes:

- Services of host country nationality;
- Commodities of host country source and origin;
- Commodities of host country source and any origin (Code 935)

This blanket waiver effectively establishes (per USAID award) a single \$5 million threshold for local procurement to replace those individual thresholds currently set forth in 22 CFR 228.40 Local Procurement and ADS Chapter 311. Under the authority of this blanket waiver, you may now purchase

- up to \$5 million of commodities of U.S. origin from local suppliers; OR
- up to \$5 million of commodities of geographic code 935 origin from local suppliers; OR
- up to \$5 million of professional services contracts from local suppliers;
OR
- any combination of these commodities and professional services not to exceed \$5,000,000.

The waiver does not affect the eligibility of construction-related local procurements nor commodities and services which are only available locally as set forth at 22 CFR 228.

This amount is a single aggregate total comprised of all purchases under the prime award, all subawards, and purchases under those subawards. Recipient may choose to allocate portions of the waiver threshold authority to subawardees; however, it is recipient’s responsibility as the prime awardee to monitor and document the total local procurement.

If the total amount of purchases of goods and services reaches the \$5 million threshold authorized in the waiver, then the requirements for local procurement revert to 22 CFR 228.40 (and as supplemented in ADS 311) for any additional purchases above the threshold.

Individual or case-by-case waivers which were approved before the effective date of the blanket waiver are not considered part of the \$5 million threshold.

This waiver does not include Restricted Commodities and Eligibility of Commodities under the Commodity Eligibility Listing (CEL). Waiver approval requirements for restricted commodities (as set forth in 22 CFR 228 Source Origin and Nationality Rules and ADS 312) remain in effect; eligibility of commodities as set forth in the CEL are also unchanged (Mandatory Reference to ADS 312).

Cost share – the recipient shall contribute at least **3%** of total federal share.

Recipient's cost share shall be contributed throughout the life of the agreement, commensurate with implementation, reported quarterly, and meet the standards set in 22 CFR 226.23.

Audit costs – USAID determines funding for financial audits by the nature of the audit and the organization requiring the audit. Available at www.usaid.gov/policy/ads/500/591.pdf.

- a. **U.S. for-profit organizations:** The Office of the Inspector General, Office of Audits, Financial Audits Division, must ensure that funds are available for financial audits of U.S. for-profit organizations performed by other Federal agencies, such as the Defense Contract Audit Agency (DCAA), or by independent public accountants.
- b. **U.S. nonprofit organizations:** The recipient organization normally funds the financial audit initially, with USAID eventually paying for it. The Agreement Officer will determine if the cost of the audit is an allowable direct or indirect expense based on the applicable cost standards.
- c. **Special audit requests:** The cognizant Mission or Bureau generally funds special audit requests initiated because of specific concerns about a contractor or recipient.
- d. **Foreign organizations and host government entities** The recipient organization normally funds the financial audit initially, with USAID eventually paying for it. The Agreement Officer will determine if the cost of

the audit is an allowable direct or indirect expense based on the applicable cost standards. USAID may perform audits of host government recipients.

For the purposes of this RFA, non-U.S. non-governmental organizations should include the cost of a recipient-contracted audit in the cost application.

12. Unnecessarily elaborate applications: 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 artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
13. USAID Disability Policy:
 - (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
 - (b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

G. ENVIRONMENTAL COMPLIANCE

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 201.3.11.2b 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 of this RFA.

In addition, 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.

No activity funded under this CA will be implemented unless an Environmental Threshold Determination (ETD), as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). The ETD for the Sustainable Landscapes Program (Annex 2) covers activities expected to be implemented under this CA and the relevant compliance language from the ETD is noted below.

An Initial Environmental Examination (IEE- Annex 3) has been approved for the USAID/Brazil Sustainable Landscapes Program funding this CA. The IEE covers activities expected to be implemented under this CA. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer's Technical Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this CA to determine if they are within the scope of the approved Regulation 216 environmental documentation.

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.

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.

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:

- a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA

conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

- b) Integrate a completed EMMP or M&M Plan into the initial work plan.
- c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

Pursuant to 22 CFR 216.2 (c) (2) (i) (ii) (iii) and (xiv) a **Categorical Exclusion** is granted for activities that have components involving education, technical assistance, assessments, surveys, workshops, meetings and development planning:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities).
- (ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored.
- (iii) Analyses, studies, academic or research workshops and meetings.
- (iv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

A **Deferral** is issued for all activities under the Sustainable Landscapes Program that are not categorically excluded from additional environmental review. When the activities are better defined—at the time of approval of the award—a supplemental IEE will be submitted for these activities. The Cooperative Agreement will specifically mention incorporation of environmental review and compliance with 22 CFR 216 in activity design.

A **Categorical Exclusion** is issued to all Sustainable Landscapes Program components involving education, technical assistance, workshops, meetings and development planning pursuant to, including

1. Development of market readiness for REDD+ focusing on building techniques and capacities for monitoring, reporting, and verification (MRV).
 - Strengthen the enabling environment to deliver CO2 results from forest management, including through addressing forest governance, land tenure and carbon rights, and institutional capacity.
 - Support development of carbon revenue distribution systems and legal frameworks.
3. Improved national greenhouse gas emission inventories including the building of capacity for greenhouse gas accounting a project, municipal, state, and Federal levels.
 - Build GOB, state and local levels institutional capacity to estimate, report and monitor greenhouse gases at the national level from land use, consistent with international standards.

- Create or strengthen national forest inventory and monitoring systems that are linked to greenhouse gas inventories.
 - Add greenhouse gas accounting to existing forest projects.
4. Building capacity within Brazil for REDD+, scaling-up of measurements, and greenhouse gas accounting.
- Technical assistance to develop national and sub-national forest and land use strategies that seek to provide sustainable development and greenhouse gas benefits in the context of economy-wide low carbon development strategies.
 - Creation of national baselines against which forest-related emissions reductions and sequestration can be measured.

A Negative Determination with Conditions is issued (pursuant to 22 CFR 216.3 (a) (3) (iii)) to the all Sustainable Landscapes Program involving restoration of degraded areas - if developed; pilot projects related to land use strategies that affect forests; and small-scale infrastructures – if developed to support pilot projects, including the following components:

1. Development of market readiness for REDD+ focusing on building techniques and capacities for monitoring, reporting, and verification (MRV).
 - Pilot forest carbon finance by adding climate-related financing to forest activities. Pilot demonstration programs should be developed for monitoring, reporting, and verifying carbon needed for market readiness. Pilot programs will be an excellent vehicle for education and capacity building.
2. Scaling-up of measurements of the carbon and other greenhouse gas effects of forest management from the local to the national level using innovative models and technology.
 - Assist the GOB to demonstrate and implement approaches to forest mitigation (REDD-plus) that achieve impact at scale and/or are specifically designed to influence larger policy processes.
4. Building capacity within Brazil for REDD+, scaling-up of measurements, and greenhouse gas accounting.
 - Assistance to the GOB with implementation of priority actions identified in land use strategies that affect forests, for example, by addressing the most influential drivers of deforestation and forest degradation, or restoring degraded lands through enhanced tree cover.
 - Support the participation in REDD-plus strategies and activities of all relevant stakeholders, including private sector and local and indigenous communities.

Conditions to avoid or mitigate adverse environmental impacts from the above activities include:

- Use of the “Guidelines for Implementing Partners: **USAID/Brazil’s Environmental Mitigation Plan and Report (EMPR)**” (**Annex 4**) to conduct a

preliminary environmental analysis of all sub activities, and develop mitigation and monitoring plans for approval by the MEO and REA.

- Make sure all activities comply with the “Forest Code”, Federal law 4771/65 (as modified by provisional executive order 2166/01, (http://www.planalto.gov.br/ccivil_03/Leis/L4771.htm).
- Make sure all activities comply with the “Public Forests Law, Federal Law 11284/06, if applicable, which regulates the protection, management and use (through concessions) of publicly owned forests in Brazil (http://www.planalto.gov.br/ccivil_03/_Ato2004-2006/2006/Lei/L11284.htm).
- Each activity manager or Contracting (or Agreement) Officer Technical Representative (COTR or AOTR) and the USFS Program Coordinator for these Activities are responsible for making sure environmental conditions are met (ADS 204.3.4). In addition, COTRs/AOTRs are responsible for ensuring that appropriate environmental guidelines are followed, mitigation measures, conditions and responsibilities in the IEE are funded and implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.
- The implementing contractor or partner will ensure that all activities conducted under this instrument comply with all relevant ETDs. Also, through its regular performance monitoring and reporting requirements, a section on environmental compliance (e.g. mitigation monitoring results) will be included, where the implementing partner will specify all actions taken, if any, and/or state that all activities were developed in accordance with applicable national laws and USAID guidelines.
- The MEO, and/or his designee, reserves the right to conduct spot monitoring checks for all of the activities listed in this IEE to ensure that the conditions listed in the IEE, ETD, and within SIGA are being followed.
- Language from “Environmental Compliance: Language for Use in Solicitations and Awards – An Additional Help for ADS Chapter 204” *must be* included in award documents (see: <http://www.usaid.gov/policy/ads/200/204sac.pdf>). It is the responsibility of the Agreement Officer to ensure that environmental compliance language from the ETD is added to procurement and obligating documents.
- If additional activities are added that are not described in this document, an amended Initial Environmental Examination will be prepared.
- Compliance with and application of USAID Environmental Guidelines for Development Activities in Latin America and Caribbean

(<http://inside.usaid.gov/LAC/RSD/E/epiq.html>); focus on these chapters of the Guidelines:

- Chapter 2: Small-Scale Infrastructure” - section A. Construction Activities
 - Chapter 9: Forestry - for Reforestation and Agro forestry.
- Under no circumstances will funds be used for procurement or use of pesticides, purchase of equipment which could be used for commercial timber harvesting; nor activities, projects, or programs involving commercial timber harvesting unless the appropriate environmental assessment is conducted, and approved by the LAC/BEO.

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA

Overview

The criteria presented below are tailored to the requirements of this RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications; and (b) set the standard against which all applications will be evaluated. **To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.**

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general cost reasonableness.

A Technical Evaluation Committee will be convened in order to conduct a technical review of the applications received. A cost analysis of all applications will be conducted simultaneously in order to assess the cost realism and cost effectiveness of applications.

To the extent that they are necessary (if award is not made based on initial applications), the Agreement Officer may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. Based on a careful review of technical, administrative, and cost-related factors, the apparently successful application most aligned with USAID's objectives indicated in the RFA will be determined. The entry into discussions is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicants with whom discussions are being held.

Applicants are reminded that the Government is not obligated to make an award on the basis of lowest proposed cost or to the applicant with the highest technical evaluation score. After the final evaluation of applications, the Agreement Officer will make the award to the responsible applicant whose application is judged to be the most advantageous in accomplishing the objectives of the program and offer the greatest value, cost and other factors considered.

Each application will be rated on a 100-point scale, with a maximum number of points assigned to each section. Award will be made based on the ranking of applications according to the selection criteria identified below.

1. Technical Approach - 40 points

Applicants will submit a comprehensive, articulated implementation plan describing their technical approach to reducing emissions from deforestation and forest degradation, as outlined in this RFA. The technical approach should demonstrate a clear understanding of both the causes of emissions from deforestation and forest degradation, and innovative approaches to addressing IRs 1 and 2 within the Brazilian context. In particular, the plan should present approaches that augment Brazilian state and municipal level policies and regulations necessary for implementation of the national REDD+ strategy, provide inventive ways to strengthen institutional and technical capacity of governmental and civil organizations working to reduce emissions, and create financial tools needed to effectively implement the REDD+ strategy.

Applicants will be evaluated on the degree to which the proposed technical approach and methodology can reasonably be expected to produce the intended outcomes proposed by the applicant. The evaluation panel will also consider the likelihood that the program for which funding is sought will make a significant contribution towards achieving goals outlined in this RFA. In addition, applicants should show that the expected results will be transformative in nature.

The technical approach needs to fully respond to the program description and should provide the following information in a succinct yet comprehensive manner:

- 30 Points:
An overall strategy and a comprehensive detailed **implementation plan** describing:
 - (i) What activities will be performed;
 - (ii) A tentative two-year timeline of proposed activities, detailing how Applicant will ensure timely start-up and mobilization;
 - (iii) How these activities address the goals and performance objectives identified herein;
 - (iv) How activities will be monitored, with clear and appropriate milestones and expected accomplishments, measurable outputs and performance indicators. This section will provide critical input for the development of USAID/Brazil's Performance Management Plan (PMP) for the overall GCC Program, and should include the Applicant's proposed target for each indicator and the methodology for analyzing results. The use of CO2 indicators is required for USAID Global Climate Change projects; thus, the Applicant should, as part of the monitoring plan, including the required indicator(s) outlined in Section II above, to report on carbon emissions reductions in a clear, objectively measurable way, using the definitions from USAID's standard GCC Indicators (Annex 5); and

(v) How the project will ensure sustainability of the results after the life of the project.

- 10 Points:

A **capacity-building plan** describing how individual and institutional training and awareness raising activities will match project objectives and contribute to the achievement of Intermediate Results, and how gender considerations and social inclusion will be taken into account.

2. Staffing - 20 points

The proposal will provide evidence that the program will have the appropriate technical, managerial, and financial staff to successfully implement the program. If applicable, the proposal will provide evidence that the program will have appropriate staff at the organization's headquarters to support the field, with an adequate number of field visits, and a reasonable focus on the use of host country nationals in senior management and technical positions.

Quality of Personnel:

Key personnel will be evaluated against experience, relevant educational background, managerial and technical knowledge, and interpersonal skills. A rational staffing mix that creatively optimizes the use of resources is required. The use of local staff should be emphasized to build local capacity and optimize effectiveness.

The applicant will be evaluated on its proposed administrative, monitoring and evaluation support and the roster of short-term specialists submitted by the applicant, as well as how well the applicant has matched part-time, full-time and short-term candidates with the skills needed to implement the Sub-national REDD+ Readiness Increased Activity. References must be provided for the proposed staff.

Project Manager:

The Project Manager will serve as the Institutional Liaison with other USAID/Brazil sponsored projects and with priority partners, and will be responsible for technical supervision and administrative oversight for the project. The Project Manager will have the following set of qualifications:

- Minimum five years of program/project management experience in fields related to the subject matter of this project, such as Climate change policy, REDD+, natural resource management, biodiversity conservation, etc.
- Proven leadership in the administration of similar size international donor support programs/projects with skills in strategic planning, management, supervision, and budgeting.
- Experience working with diverse host country partners preferred, including experience overseeing grants and/or subcontracts.

- Strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the contract.
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams.
- Knowledge of Brazil's forest sector and climate change policies, laws, development and management issues is highly desired.
- Graduate degree (Master's Degree or higher preferred) in a relevant field of study.
- Language Proficiency: Minimum 4/4 in English and 3/3 in Portuguese required; 4/4 in Portuguese strongly preferred.

Natural Resource Management/REDD+ Advisor

Core qualifications:

- Solid knowledge of UNFCCC policies and guidelines and forest carbon incentives such as REDD+, Clean Development Mechanism (CDM), and voluntary markets.
- At least five years of experience working in the forests and climate change sector, especially related to financial and incentive mechanisms such as REDD+ and CDM.
- Knowledge of Brazil's forest sector and climate change policies, laws, development and management issues is highly desirable.
- A graduate degree in forestry, environmental science, ecology, or related discipline.
- Strong communication skills, both interpersonal and written, to fulfill the technical and managerial responsibilities proposed.
- Knowledgeable in government relations/interactions; amongst national, state, and municipal levels.
- Language: Proficiency Minimum 3/3 in English and 3/3 in Portuguese required; 4/4 in Portuguese strongly preferred.

Financial Officer

Core qualifications:

- University degree in accounting, finance, business administration, statistics, or economics required.
- A minimum of 5 years of experience in financial management, finance/budget processing, financial analysis, or business management is required.
- Language Proficiency: Minimum 3/3 in English and 3/3 in Portuguese required; 4/4 in Portuguese strongly preferred.

The Applicant may propose other key personnel in which case the Applicant will include requirements for the position as well as qualifications of proposed personnel.

3. Institutional Capacity- 20 points

USAID will evaluate the extent to which the applicant has the structural and management capacity to organize and implement an activity of this size and complexity.

- A clear statement of how organizational structure, mission, and objectives will contribute to achievement of the proposed project;
- A clear and detailed description of roles and responsibilities, internal and external communications arrangements (i.e., within local offices as well as with home office backstops, if applicable), organizational chart and approach, and a mobilization schedule. USAID expects that the Applicant will maintain open, timely and effective communications with USAID, resulting in an implementation partnership that proactively addresses potential problems with flexible, workable solutions.
- Extent to which the applicant clearly demonstrates its capability to provide managerial and technical backstopping for a project of this size and complexity, including its ability to execute sub-agreements with local organizations;
- Extent to which the applicant clearly demonstrates its ability to coordinate sub-grantees and partners and to successfully work with host country counterparts; and
- Extent to which the applicant clearly demonstrates its ability to recruit, mobilize, manage, and retain local staff.

4. Applicant Past Performance - 10 points

Applicants must demonstrate the ability to support field-based operations and to meet all USAID financial and programmatic reporting requirements.

Applicants must demonstrate recent and relevant technical and field experience and quality of performance in programs/projects of similar technical content and scope in Brazil and/or developing countries. If relevant, the application can include a description of experience and representative accomplishments of the organization of conducting activities of the type required under this RFA. USAID may use performance information obtained from sources not identified by the Applicant/subcontractor. USAID will utilize existing databases of applicant performance information and solicit additional information from the references provided herein and contact the individual(s) indicated as well as others. If the performance information contains negative information on which the Applicant has not previously been given an opportunity to comment, USAID will provide the Applicant an opportunity to comment on it prior to its consideration in the evaluation.

5. Consortium Structure and Governance – 10 Points

USAID seeks applications from environment, development, social and/or indigenous organizations that come together to form a consortium partnership. Consortium applicants must demonstrate a collective set of individual and organizational skills and capacities to carry out and assess proposed activities. Applicants must also demonstrate a governance structure that allows for equitable and inclusive participation by the consortium’s members to apply those skills and capacities. Proposals will be evaluated on the:

Total Points Possible: 100 points

Cost Evaluation

The Applicant must submit a detailed budget and budget narrative that supports its proposed cost estimates. Cost applications will be evaluated based on cost fairness, cost realism, completeness, and reasonableness. Cost realism is defined as the Applicant’s ability to project costs which are realistic for the work to be performed; reflect a clear understanding of the requirements; and are consistent with the Applicant’s technical capacity.

The proposed budget must be reasonable and cost-effective. Applicants should provide estimates for program management (including program monitoring). Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer “greater value” than those with higher costs.

The budget must be consistent with the activity design and implementation. Budget aggregation must be broken down by proposed activity, prime agreement, and sub-agreements. Sufficient resources must be budgeted to comply with USAID reporting, audit, monitoring (including studies of the establishment of baselines, if needed), evaluation requirements, and close-out plan.

Administrative and management costs will be closely scrutinized to determine if financial resources are maximized to support the program approach.

Cost-sharing:

USAID endorses cost-sharing as an important principle in USAID-recipient relationships, and therefore requires that applicants to this RFA provide a minimum 3% cost share of the USAID-funded program costs.

Applications that do not meet at least the minimum cost sharing requirement are not eligible for award consideration.

Applicants are encouraged to contribute resources from its own, private or local sources for the implementation of this project. Contributions can be either cash or in kind (in accordance with OMB Circular A-110 and 22 CFR 226.23).

Recipient's cost share shall be contributed throughout the life of the agreement, commensurate with implementation, reported quarterly, and meet the standards set in 22 CFR 226.23.

B. BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; [22 CFR 226.91](#).

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant," as defined in the regulation. The apparent successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in [22 CFR 226.91](#). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in [AAPD 05-11](#) and in [22 CFR 226.91](#). Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see [22 CFR 226.91\(j\)](#). See Section VIII.

C. AWARD

Award will be made to responsible applicant whose application offers the best value, cost and other factors considered. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

The Agreement Officer may conduct negotiations with one or more applicants but reserves the right to make award without consultations. USAID's objective is to award one Cooperative Agreement to the organization whose application is determined by the Agreement Officer on a best value basis to be most advantageous to the United States Government.

The Agreement Officer's decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer's decision shall be directed to the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the **only** individual who

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

[END OF SECTION V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted electronically to the Recipient for countersignature by the authorized agent of the successful applicant.

A. ROLES AND RESPONSIBILITIES

The recipient shall be responsible to USAID/Brazil for all matters related to the execution of the agreement. Specifically, the recipient shall report to the Regional Agreement Officer and to the Agreement Officer's Technical Representative (AOTR), within the office of USAID/Brazil, who will be designated by the Agreement Officer prior to award.

B. REPORTING

The Recipient will be requested to submit the following plans and reports:

- **Annual work plan, performance monitoring plan and DQA:**

The first year work plan shall be developed by the selected applicant with USAID/Brazil assistance and should be submitted no later than 60 calendar days from the date of award of the cooperative agreement (the date the award is signed by the Regional Agreement Officer). Subsequently, one additional annual work plan shall be prepared and submitted to USAID/Brazil by October 15, 2012.

The work plans shall include, at a minimum:

- Proposed accomplishments and expected progress towards achieving results;
- Timeline for implementation, including milestones and target completion dates;
- Plan on how activities will be implemented;
- Planned collaboration with other major partners;
- Any equipment or commodities to be procured, including those that will require prior written approval by the Regional Agreement Officer; and
- Detailed budget.

The DQA should be submitted on an annual basis by October 30, of each calendar year.

- **Quarterly Progress Reports**

The recipient shall submit to the USAID AOTR a report on its quarterly performance within 30 calendar days after the end of the period being covered. The report will cover both technical and financial issues and must, at a minimum:

1. evaluate program's overall performance;
2. describe success stories;
3. justify underachievement of targets;
4. describe lessons learned;
5. evaluate project sustainability; and
6. recommend changes to the program.

- **Quarterly Financial Reporting**

(1) The recipient (if a U.S. non-governmental organization) must submit the Federal Financial Form (SF- 425) on a quarterly basis, within 30 calendar days after the end of the period being covered, via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer's Technical Representative (AOTR).

(2) The recipient (if a U.S. non-governmental organization that has an established Letter of Credit (LOC) must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMP-LOC Unit, the Agreement Officer and the AOTR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to the U.S. Department of Health and Human Services in accordance with paragraph (1) above.

(3) The recipient (if a non-U.S. non-governmental organization) shall follow the requirements of ACCOUNTING, AUDIT, AND RECORDS (OCTOBER 1998) in the Mandatory Standard Provisions for non-U.S. non-governmental organizations that will be incorporating in the award and are available at <http://www.usaid.gov/policy/ads/300/303mab.pdf>.

- **Final Agreement Completion Report**

Thirty (30) days prior to the end of this award, the award recipient, in collaboration with Consortium members, will submit a draft Final Report providing a final accounting of activities, progress made, results obtained, and lessons learned. Fifteen days after submission of the draft, the USAID AOTR will provide the applicant with comments.

The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this agreement.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Ms. Cynthia L. Shartzter
Agreement Officer
USAID/Peru
Av. La Encalada s/n, cdra. 17
Monterrico, Lima 33
Peru

Tel: 51-1-618-1435
Fax: 51-1-618-1354
cshartzter@usaid.gov

The A&A Specialist for this Award is:

Ms. Ana Paula Mendes
USAID/Brazil
Embaixada dos Estados Unidos
SES Av. das Nações Qd. 801 Lote 03
Brasilia – DF - 70403-900
Brazil

Tel: 55-61-3312.7233
Fax: 55-51-3312.7648
amendes@usaid.gov

The AOTR for the planned Award is:

TBD (to be determined)
USAID/Brazil
Embaixada dos Estados Unidos
SES Av. das Nações Qd. 801 Lote 03
Brasilia – DF - 70403-900
Brazil

[END OF SECTION VII]

SECTION VIII – OTHER INFORMATION

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

(c) Submission Requirements

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

(1) Positioning

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

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

For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

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

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American

people support this project or program.

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

(3) Acknowledgements

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

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

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

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

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful

Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding

Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

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

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

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

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

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

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

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

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

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

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

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

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

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

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

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

(iii) when in the performance period the applicant will mark the program deliverables,

and where the applicant will place the marking.

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or

communications products funded by USAID with the USAID Identity.

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

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

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

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

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

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

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

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

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility

of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

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

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:
 - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
 - (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
 - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
 - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government “ownership”

- of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
- (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer (CTO), currently known as the Agreement Officer’s Technical Representative (AOTR). The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.
 - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
 - (4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already

- affixed, if circumstances warrant.
- (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

[END OF SECTION VIII]

ATTACHMENTS AND ANNEXES

- Annex 1 – Annual Reports for Fiscal Year 2010
- Annex 2 – ETD for Sustainable Landscapes Program *
- Annex 3 – IEE *
- Annex 4 – EMPR
- Annex 5 – Indicators
- Annex 6 - Matrix for Budget Preparation
- Certifications, Assurances, and Other Statements of the Recipient (May 2006)

* Provided as a single document

[END OF RFA-512-11-000002]

ANNEX 6 – MATRIX FOR BUDGET PREPARATION

| PROGRAM ELEMENT – 4.8.1 Natural Resources and Biodiversity 4.8.1.4 Biodiversity Conservation | Year 1 | Year 2 | TOTAL |
|--|---------------|---------------|--------------|
| IR 1. Increased capacity of state and municipal governments to reduce GHG emissions from land use and land use change | | | |
| IR.2. Increased adoption of land management best practices on Private land to reduce greenhouse gas emissions from land use land use change | | | |
| TOTAL USAID FUNDING | | | |
| TOTAL COST-SHARE | | | |

| | | | |
|-------------------------|--|--|--|
| TOTAL LEVERAGING | | | |
|-------------------------|--|--|--|

| Input Categories | Total |
|------------------------------|--------------|
| 1. Personnel | |
| <i>1.a.Salaries</i> | |
| <i>1.b.Consultants</i> | |
| 2. Fringe Benefits | |
| 3. Travel and Transportation | |
| 4. Meetings and Workshops | |
| 5. Equipment and Supplies | |
| 7. Monitoring & Audit | |
| 8.Other Direct Costs | |
| TOTAL | |
| TOTAL COST-SHARE | |
| TOTAL LEVERAGING | |

* The above mentioned input categories are “illustrative” only. Each input category must include a breakdown of all input costs.

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 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, sub grants, 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.

3. 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 is 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.

4. CERTIFICATION REGARDING TERRORIST FINANCING, IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the

Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts. This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non- Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

PART II - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

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.

PART III - 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. | Email address. |
|------|-------|---------------|----------------|
|------|-------|---------------|----------------|

2. TAX PAYER 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 offeror 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: _____

<https://eupdate.dnb.com/requestoptions.html>

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(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 sub grant or sub agreement) to a sub grantee or sub recipient in support of the sub grantee'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, 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 relieving items do 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 | QUANTITY | ESTIMATED | GOODS | PROBABLE |
|------------------|-----------|------------|--------|------------|
| GOODS PROBABLE | | | | |
| (Generic) | UNIT COST | COMPONENTS | SOURCE | COMPONENTS |
| 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/DESCRIPTION | QUANTITY | ESTIMATED | PROBABLE USE |
|------------------|-----------|-----------|--------------|
| (Generic) | UNIT COST | SOURCE | ORIGIN |

(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 | QUANTITY | ESTIMATED | PROBABLE SUPPLIER |
|-----------------------|-----------|---------------|-------------------|
| NATIONALITY RATIONALE | | | |
| (Generic) | UNIT COST | (Non-US Only) | 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

6. 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.