

Amendment #2

The purpose of this amendment to the above referenced APS is to revise the entire document to incorporate the changes made by amendment #1 and new changes in amendment #2. USAID is making this amendment so the document is easier to follow. The revision is all the text below and changes are from amendments #1 and #2 are indicated in red. Text that no longer applies will be indicated with a ~~strike through~~. **\*\*Note\*\*** No changes have been made to sections D or E or any of the Annexes.

ANNUAL PROGRAM STATEMENT

ICAA II

**COVER LETTER:**

Opening Date: July 9, 2010

Closing Date: **July 9, 2011**

The purpose of this Annual Program Statement (APS) is to disseminate information about USAID/LAC Bureau's Phase II Initiative for Conservation in the Andean Amazon (ICAA II) program and, specifically to provide prospective grantees with an opportunity to develop and submit applications for funding to help meet the objectives of ICAA Intermediate Result 1 -- Selected Landscapes Managed Sustainably. The Execution Phase of the 20-year ICAA program is divided into two 5-year periods: ICAA II – 2010-15; and ICAA III – 2016-20. This APS requests applications for landscape-level program proposals for Phase II of the program. These proposals should be designed to achieve concrete results within the Phase II period, but may indicate more substantial results that might be achieved if funding were continued for the Phase III period. Decisions on whether to continue programs beyond five years will be based on a variety of factors, including performance and availability of funds.

This APS requests applications for landscape-level proposals that support the three broader objectives of the ICAA II program, which are as follows:

- a. Reduced rates of deforestation and biodiversity loss
- b. Key aspects of Natural Resource Governance functioning effectively
- c. Increased Livelihood Quality and Sustainability

This APS consists of this cover letter and the following:

Section A: Program Description

Section B: Selection Criteria

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Section C: Technical Application Format

Section D: Cost Application Format

Section E: Certifications, Assurances and other Statements of Applicant/Grantee.

In this context, this APS welcomes applications from U.S. and non-U.S. Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia.

Applicants for funding under this APS should indicate clearly and succinctly how their proposed activities will contribute to an improved condition of biologically significant areas, including mutually agreed performance indicators and benchmarks (both quantitative and qualitative) to measure these results.

Pending the availability of funding, LAC anticipates awarding **up to twelve** grants or cooperative agreements to fund applications submitted in response to this APS. **There is no budgetary minimum or maximum for applications. Rather, USAID anticipates making a range of awards and welcomes applications that are tailored appropriately to the landscape approach and to the absorptive capacity in the proposed landscape(s), including applications from organizations that might be new to USAID. New organizations may be subject to a pre-award survey by the Office of Acquisition and Assistant's Contract Audit Management division (M/OAA/CAM) upon selection for award. Note that this APS is not a small grant mechanism,** as each agreement will run for approximately four-five years. USAID reserves the right to fund any or none of the applications submitted and to negotiate separately with an applicant if such an action is considered to be in the interest of the USG.

Out of an estimated \$30 million available over five years for use for all ICAA II Area-Based Programs (ABPs), USAID is planning to approve projects valued at approximately **\$30 million in fiscal year 2011** through this APS, possible add-on awards to some of the ICAA I agreements and other mechanisms. The projects will be primarily or fully funded from USAID's biodiversity appropriation. Upon satisfactory evaluation of the projects at the end of the funding period and pending availability of resources, USAID may make a determination to extend some, all or none of the project agreement(s).

The proposed period of performance will be from the date of signature to o/a September 30, 2015 subject to the availability of funding. However, applications may describe activities covering no less than four years and no more than five years.

Applications may be submitted at any time up to **July 9, 2011**. Only one agreement will be awarded to an individual organization. Each organization can submit only one application per review round. Applications may include work in more than one landscape but there must be a clear conceptual linkage if more than one landscape is proposed. Applications received in response to an APS shall be evaluated in accordance with the APS evaluation criteria provided in

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Section B of this APS.

Awards will be subject to availability of funds. **USAID reviewed all applications received by August 27, 2010 for round 1 and will review all applications received by December 15, 2010 the second round for selection and awards.** Pending availability of funds, USAID anticipates holding a further round of selection and awards in 2011. USAID will amend this APS to notify applicants when subsequent round(s) of applications will be reviewed. **USAID reserves the right to review applications received at any time while the APS is open (through July 9, 2011) and while funds are available.**

Applicants who have not previously received a USAID award will be subject to a pre-award review process prior to signature of any agreement. **Applicants who are applying to USAID for the first time are advised to note the organizational registration requirements as presented in [www.grants.gov](http://www.grants.gov) and should program their time accordingly for registration and application submission. USAID strongly urges applicants to immediately access [www.grants.gov](http://www.grants.gov) in order to obtain a username and password. It may take two full weeks to register with [www.grants.gov](http://www.grants.gov). Please see Section B .1 “Timing and Limitations” below for further guidance.**

### **1.2. Authority**

This APS is issued under the authority of the Foreign Assistance Act of 1961, as amended. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government (USG), nor does it commit the USG to pay for costs incurred in the preparation and submission of any application. Awards shall be made in accordance with federal regulations and agency policy. For U.S. organizations, award shall be administered according to 22 CFR 226. OMB Circulars and USAID Standard Provisions will apply <http://www.usaid.gov/policy/ads/300/303maa.pdf>; for non U.S. non-government organizations, USAID provisions for non-government organizations will apply <http://www.usaid.gov/policy/ads/300/303mab.pdf>. Activities proposed under this APS should primarily support achievement of the Initiative for Conservation in the Andean Amazon II Program Objective.

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## ACRONYM LIST

<b>ABP</b>	<b>Area-Based Program, the landscape approaches sought in this APS</b>
AOTR	Agreement Officer's Technical Representative
APS	Annual Program Statement
GCC	Global Climate Change
ICAA	Initiative for Conservation in the Andean Amazon
ICR	ICAA Country Representative
IR	Intermediate Result; USAID terminology for program objective
IQC	Indefinite Quantity Contract
ISU	ICAA Support Unit
NRM	Natural resources management
o/a	On or about (estimated dates)
PA	Protected area
PES	Payment for Environmental Services
PMU	(ICAA) Program Management Unit
USAID/W	USAID/Washington
USDH	U.S. Direct Hire (USAID staff)
USG	U.S. Government

## SECTION A: PROGRAM DESCRIPTION

### A1 PROGRAM SUMMARY

This Annual Program Statement (APS) disseminates information about USAID/LAC Bureau's Phase II Initiative for Conservation in the Andean Amazon (ICAA II) program and provides prospective grantees with an opportunity to develop and submit applications for funding to help meet the objectives of ICAA II Intermediate Result 1 -- Selected Landscapes Managed Sustainably. This APS requests applications for landscape-level program proposals that support the broader objectives of the ICAA II program, which are as follows:

- a. Reduced rates of deforestation and biodiversity loss
- b. Key aspects of Natural Resource Governance functioning effectively
- c. Increased Livelihood Quality and Sustainability.

Pending the availability of funding, LAC anticipates awarding **up to twelve** grants or cooperative agreements to fund applications submitted in response to this APS. **There is no budgetary minimum or maximum for applications. Rather, USAID anticipates making a range of awards and welcomes applications that are tailored appropriately to the landscape approach and to the absorptive capacity in the proposed landscape(s), including applications from organizations that might be new to USAID. New organizations may be subject to a pre-award survey by the Office of Acquisition and Assistant's Contract Audit Management division (M/OAA/CAM) upon selection for award. Note that this APS is not a small grant mechanism, as each agreement will run for approximately four-five years.**

Applications are welcome from U.S. and non-U.S. Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia. Applicants for funding under this APS should indicate clearly and succinctly how their proposed activities will contribute to an improved condition of biologically significant areas, including mutually agreed performance indicators and benchmarks (both quantitative and qualitative) to measure these results.

The final decision for funding will be based on reviews of both the technical application and **cost application**. Awards will also be made based on the availability of USAID funding. USAID reserves the right to fund one or more or none of the applications which may be submitted under this APS.

## A.2 BACKGROUND AND RATIONAL FOR THE ICAA II PROGRAM<sup>1</sup>

The Amazon Basin includes the world's largest intact area of tropical forest and contains immeasurable environmental and cultural wealth. Conserving and sustainably developing this natural and social wealth represents both an immense opportunity and responsibility. On a daily basis, governments and civil societies within the Amazon Basin face the challenge of meeting short- and long-term needs by balancing environmental conservation and economic well-being. Through ICAA, working in concert with the national priorities and interests of the Andean Amazon countries, USAID seeks to facilitate, provide technical and financial assistance to, and build capacity for the conservation programs and policies of these countries.

ICAA is the flagship regional biodiversity conservation program of USAID/LAC, complementing a long-standing history and wide array of Mission and other Agency-funded conservation and natural resource management activities in the Amazon Basin. ICAA is designed to work innovatively across and within boundaries to save one of the world's most biodiverse areas by strengthening indigenous groups, convening national and regional policy dialogues on the main drivers of forest destruction, and empowering local organizations and agencies to create and manage new protected areas and indigenous territories.

Phase I of ICAA, originally named ABCI, with Brazil included as a participating country, was designed as a five-year program (FY2006-2011). Through ICAA, USAID has funded four field consortia through Cooperative Agreements and an ICAA Support Unit (ISU) funded through a direct contract. The consortia and ISU presently work in four countries: Bolivia, Colombia, Ecuador, and Peru after Brazil's departure from the ABCI program in 2008.

It is anticipated that Congressional directives will continue to provide approximately \$15 million annually in biodiversity funds for this regional program for the five years of Phase II, of which approximately \$30 million will be used for Area-based Projects (ABPs or landscape-level projects) including possible "add-on" awards to some of the ICAA I cooperative agreements and other mechanisms. ICAA II will retain its geographic focus on the Amazon regions of Bolivia, Colombia, Ecuador and Peru.

For the second round of applications to be reviewed under this APS (i.e. those applications received by December 15, 2010) USAID will not consider applications with workplan activities for Area-Based Programs in Bolivia (see Section A.5). However, in anticipation of possible future ICAA II implementation in Bolivia, applications may include Bolivia within the Cost Application (Section D) and the Technical Application (Section C) but may not include any Bolivia activities in the component C.5 Technical Approach (the first year workplan). USAID

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<sup>1</sup> Additional background information is found in Annex 3

will not consider funding landscape-based activities in Bolivia within the second round of funding, such that applications cannot include C.5 Technical Approach/workplan activities in Bolivia. Including Bolivia in the overall program design (i.e. the other components of Section C and Section D) could allow for future consideration of Bolivia-based activities, if awarded, and if USAID deems such activities to be appropriate at that time. In that case, USAID and the selected partner would decide on appropriate workplan changes at that time to include Bolivia-based activities.

Under a separate procurement process, USAID will issue a Request for Proposals in order to award a direct contract for the ICAA II Support Unit (ISU II). The ICAA II Support Unit and the implementing partners of the Area-based Projects will work together closely in ensuring regional impact of the Initiative across the four Intermediate Results of ICAA II.

The USAID missions in countries that touch on the Amazon Basin agree on the need for a regional USAID program that will complement USAID bilateral program activities that are inherently more national in scope (e.g. national policy dialogue, strengthening a national park system, conservation activities in non-Amazon regions). These Missions will work closely with the ICAA II program to identify, approve and monitor ICAA-funded activities in the Amazon regions of their country. A summary of bilateral USAID programs in the region is found in Annex 4.

#### Program Phasing over 20 years

The objectives of the first 5-year Preparation phase of the ICAA program (2006-2011) have focused on encouraging regional cooperation, participation, capacity building and specifically:

- Promoting a regional approach to conservation and economic development in the Andean Amazon,
- Broadening participation in decision-making for Amazon Basin natural resources,
- Building capacities and partnerships for land management and policy implementation for diverse stakeholder organizations, especially conservation and indigenous organizations, and
- Leveraging sustainable financing through alliances with the private-sector.

The second program phase, the Execution Phase, which will be carried out over the next ten years (2011-2020), will focus primarily on the introduction and expansion of best practices in NRM, in governance and in improving livelihoods of the region's population in environmentally sustainable ways. For purposes of USAID procurement, this phase will be divided into two five year periods: ICAA II (2010-2015) and ICAA III (2016-2020).

The final program phase, ICAA IV: (2021-2025) will be a Consolidation Phase that focuses on ensuring the long-range sustainability of the most effective interventions, institutions and policies supported in prior years.

### **A.3 ICAA II PROGRAM GOAL AND INTERMEDIATE RESULTS**

The overarching goal of USAID environmental programs in the Amazon Basin mirrors the goals of other donors and the countries themselves – the Andean Amazon Biome Maintained.

The ICAA II Program Objectives that contribute to this goal are:

- a. Reduced rates of deforestation and biodiversity loss
- b. Key aspects of Natural Resource Governance functioning effectively
- c. Increased Livelihood Quality and Sustainability

ICAA II has four major intermediate results, as summarized on the Results Framework below<sup>2</sup>. As in ICAA I, the program focus will be two-fold: a) Area-Based (landscape) Projects (ABPs) that conserve areas of high biodiversity importance that are under significant threat; and b) Building region-wide collaboration, capacity and commitment<sup>3</sup>. This program approach takes full advantage of USAID’s comparative advantages in environment, conflict resolution and mitigation, economic growth, capacity building and technology transfer. Results anticipated are:

IR 1: Selected Landscapes Managed Sustainably (Indigenous territories, Protected Areas, Private and Communal Lands).

Building on the model of the most successful ICAA I consortia programs, ICAA II will expand the number of area-based programs from the four funded under ICAA I to ten-twelve over the life of this 20 year program. Most Area-based projects will be selected through periodic calls for proposals using USAID’s Annual Program Statement (APS) mechanism. APS guidance in Section B encourages proposals that take a holistic view of how best to achieve conservation

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<sup>2</sup> More details on Intermediate Results 2, 3 and 4, as well as the Cross-cutting themes and tools are found in Annex 2.

<sup>3</sup> By looking at the entire Basin ecosystem, the regional component of ICAA II will be able to support the multiple-scale interventions needed to promote comprehensive responses to transnational threats such as illegal logging, uncertain land tenure, wildlife trade, fire, the downstream effects of soil and water contamination, and habitat conversion. This component will build region-wide capacity for conservation and strengthen conservation knowledge and awareness, for resolving governance issues, encouraging PES initiatives at the national and community levels, and promoting research and greater understanding of key environmental issues and solutions.

objectives in a particular region, including cross-sectoral, nature-wealth-power and conflict resolution methodologies. Most projects should be designed to demonstrate significant progress within 4-5 years and to achieve the desired impact and become sustainable within 8-10 years of USAID-supported funding.

IR 2: Key Elements of Natural Resource Governance Functioning in Critical locations (Land Tenure and Titling, Legal Capacity and Availability, Openness and Transparency). The primary implementing mechanism for this IR will be the ICAA II Support Unit (ISU II) contract.

IR3: Increased Capacity to utilize PES-like incentive and other economic incentive programs (at the National level and at the Community level). The primary implementing mechanism for this IR will be the ISU II contract.

IR 4: Greater Understanding of key environmental issues and solutions (Biodiversity issues, Socio-Economic Issues, Infrastructure Investment Issues). The implementing mechanisms for this IR will be the ISU II contract, the National Science Foundation and the USAID University Partnerships Program.

Supporting implementing partners across all four IRs will be technical agencies of the U.S. Government (USG) that will bring expertise, networking and additional resources to ICAA II. These cooperating USG agencies will include the Department of Interior (DOI) and the Department of Agriculture/U.S. Forest Service. USAID management will work closely with these agencies and all ICAA partners to ensure timely, strategic and unique USG contributions to ICAA.

In addition, the ICAA program, with the ISU II in the lead, will support three Cross-Cutting Themes that will be used to help achieve each of the Intermediate Results:

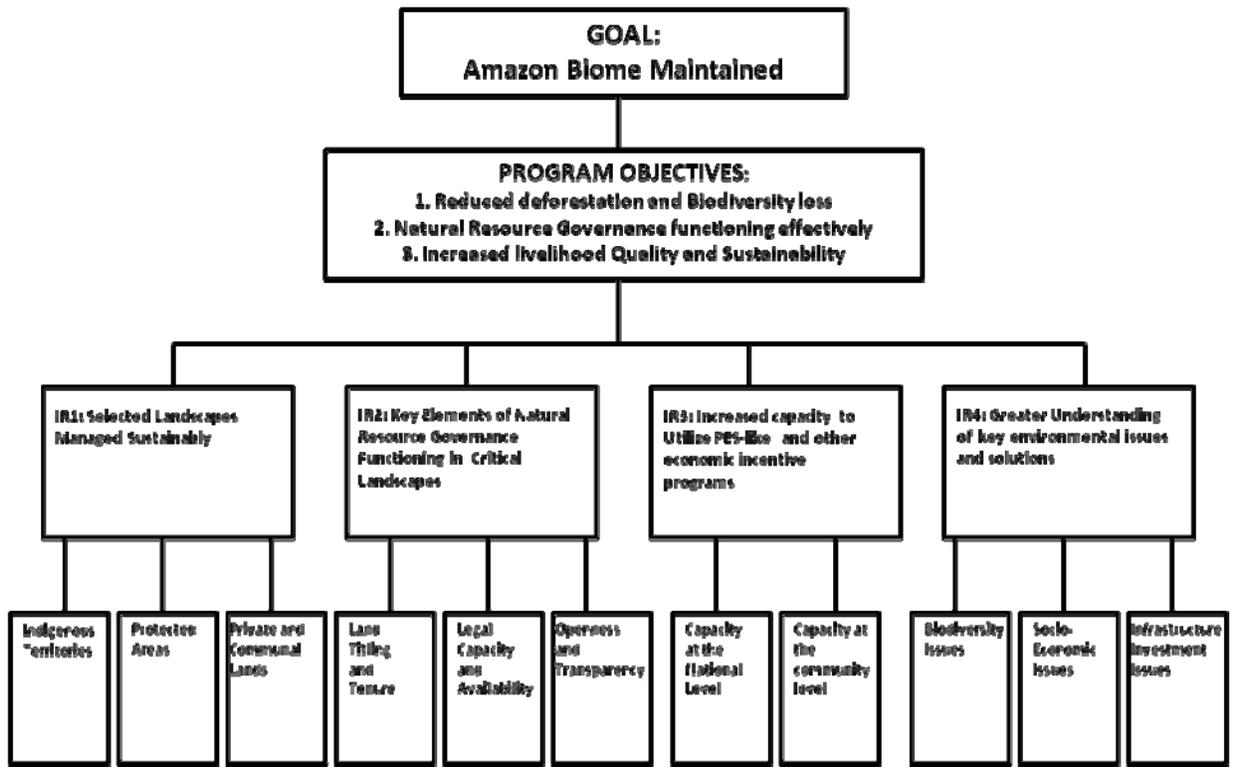
1. Improved Policies and Policy Implementation
2. Gender Awareness
3. Strengthening of selected Regional Organizations and Institutions

The Tools that will be primarily used to disseminate these Themes across the IRs and to support the four IRS more broadly are:

- a. Capacity Building
- b. Information Exchange/Knowledge Management;
- c. Rigorous Monitoring and Evaluation

The primary implementing mechanism for the Cross-Cutting elements of the ICAA II program will be the ISU II contract.

Results Framework Graphic



Cross-Cutting Themes :

1. Improved Policies and Policy Implementation
2. Gender Awareness Management
3. Strengthening Selected Regional Organizations and Institutions

Cross-Cutting Tools:

- a. Capacity Building
- b. Information Exchange/Knowledge
- c. Monitoring and Evaluation

#### **A.4 INTERMEDIATE RESULTS FOR AREA-BASED PROGRAMS (IR 1)**

The Area-Based Programs (ABPs) funded through this Annual Program Statement will be responsible collectively for achieving the objectives of IR 1. The goal of this USAID-supported program is the conservation of globally important biodiversity at the landscape level. Activities should focus on current conservation needs and on the long-term sustainability of the conservation of priority landscapes.

USAID interprets landscape as a geographic unit composed of one or more (micro) basins and/or land mosaics that are interconnected and interdependent ecologically, sociologically and / or administratively, thus providing connectivity for species, communities and ecological processes. ICAA anticipates that landscape implementers will focus attention on two or more of three land use zones identified below and that the ICAA II program will develop and disseminate successful models of sustainable conservation and livelihoods within these land use zones:

- a. Indigenous Territories
- b. Protected Areas (PAs): continuing to build capacity and protection measures in existing PAs and also incorporate new PAs that are established or authorized by decentralized government authorities such as municipal PAs, extraction zones and private PAs.
- c. Private and Communal Lands (Concessions, non-indigenous communally-managed lands) with a focus on responsibly managed forests

In each of these landscapes, ICAA anticipates achieving the following activity results:

- Sound landscape planning and the use of sustainable NRM (Natural Resource Management) practices
- Improved Environmental governance
- Improved sustainable livelihoods and ecosystem resilience

ICAA's impact will not be limited to these IR 1 landscapes. With the support of the ICAA II Support Unit (ISU) the program will also disseminate the best practices from these landscapes across a broader swath of similar landscapes in the Andean Amazon using the ICAA Cross-Cutting Themes and Tools (knowledge management, capacity building, policy dialogue, etc.).

#### **RESULTS EXPECTED:**

Activities which fall under this program component include those whose purpose is to support sustainable natural resource use and/or biodiversity conservation in diverse landscapes that

potentially address multiple land use goals such as conservation, agricultural production, forestry, fisheries, provision of environmental services, and management of carbon stocks to address climate change. Activities may be site-based or not site-specific, such as policy and research. Support may also include education, communication, capacity building and institutional strengthening activities leading to effective natural resource management, improved governance and conflict resolution for issues within or related to the targeted landscape.

#### Activity Result 1. Sound landscape planning and the use of sustainable NRM practices:

Discussion: This component focuses on activities in the three land use zones that ensure long-term natural resource productivity, ecosystem health, biodiversity conservation and improved human capacity to adapt to a changing natural resource base as a means to sustainable development.

#### Illustrative Activities:

- Participatory community mapping and skill-development in mapping
- Participatory NRM inventory
- Participatory NRM surveillance
- Development of and/or use of a comprehensive plan (land use plan, watershed plan, GCC adaptation plan, etc.) with meaningful participation of indigenous and local people and the private sector and with commitment of appropriate government authorities for the plan's long-term implementation and monitoring
- Establishment of new or strengthening of existing protected areas/indigenous zones.
- Demarcation of community management zones within concessions
- Capacity building of relevant stakeholders and institutions/organizations on related issues (e.g. communities, government agencies, private sector, NGOs)

#### Illustrative Indicators of Success:

- Number of hectares with improved natural resource management, including biologically significant areas, watersheds, forestry areas, community management areas, and sustainable agricultural lands.
- Number of hectares within landscapes (or landscape use zones) with active and approved integrated land use plans.
- NRM monitoring institutionalized using local capacity (government and/or civil society).
- Strengthened capacity to monitor NR change.
- Strengthened capacity to adapt to Global Climate Change.
- Number of people trained in GCC issues, especially GCC adaptation and mitigation.
- Number of hectares with effective participatory surveillance programs implemented for monitoring and resolving illegal logging, incursions and/or other NRM resource use or conservation threats.

- Local organizations (governmental and/or civil society) are empowered to effectively protect and transparently manage biologically important natural resources and ecosystem services, including monitoring changes in key biophysical indicators.

### Activity Result 2. Improved Environmental governance:

Discussion: The overall focus of this activity result is to “improve decentralized governance of natural resources”. The approaches taken to achieve this result will vary depending on the local governance models used by each Andean Amazon nation, as well as the formal and informal self-governance systems used by indigenous and other communities.

### Illustrative Activities

- Clarify indigenous, community and individual rights over their lands and within protected and concession areas
- Provide skills and resources to resolve internal and external conflicts
- Establish and sustain discussion forums on key governance issues, leading to resolutions, actions and, when timely and appropriate, dissolution of such forums
- Establish local conventions and councils for NRM management
- Increase capacity of local organizations to engage in advocacy and policy discussions and decision making
- Increase capacity of appropriate government agencies

### Illustrative Indicators of Success

- Number of sustainable natural resource management and conservation policies, laws, agreements or regulations implemented. (Definitional Note: policies, laws, agreements and regulations include those formed by government, non-government, civil society and private sector stakeholders)
- Regional policies are strengthened, harmonized, and implemented effectively within those sectors that drive biodiversity loss.
- Reduction of legal, regulatory and administrative barriers that hamper sustainable NRM and local management/co-management of land.
- Number of strengthened indigenous organizations and federations.
- Strengthened capacity and implementation by appropriate government agencies.
- Degree of security over land tenure.
- Number of NGO/CBO advocacy initiatives and activities implemented.
- Increased transparency of governmental decision making and of resource distribution.

### Activity Result 3.Improved sustainable livelihoods:

Discussion: In some locations, program focus will be on preparations to take advantage of PES-like programs that can bring economic benefits to communities; in others the focus will be on enabling communities to improve livelihoods by improving sustainable production and marketing of traditional or non-traditional products. A key objective is for Amazonian communities to realize the nexus between increased economic benefits and the protection of their natural resource base.

### Illustrative Activities

- Identify responsible markets for key commercial timber and NTFPs (Non-timber Forest Products)
- Prepare communities, government agencies and private sector stakeholders for REDD Readiness (Reduced Emissions from Forest Destruction and Degradation) and other Payment for Environmental Services (PES) schemes
- Encourage improved local management of production zones (fire control, harvest scheduling, water management, surveillance and local regulations to reduce illegal harvesting)
- Improve awareness of the value of ecosystem services
- Design and implement PES programs (e.g. water)

### Illustrative Indicators of Success:

- Monetary value generated from sustainable natural resources or conservation initiatives.
- Royalties and other resources provided via PES-like schemes
- # of hectares under best management practices, perhaps including certification as appropriate
- # of new or existing NR-based and non-traditional enterprises that show increased revenues
- Reduced out-migration from indigenous communities
- Increased household income as a result of ICAA-funded assistance
- Increased transparency of government-managed decisions and resource allocation

## **A. 5 PROGRAM APPROACH**

### **A. 5. 1. PRIORITY LANDSCAPE AREAS**

#### **a. Landscape Selection Criteria**

USAID applied the following criteria in selecting the landscapes listed below for the proposed Area-Based Projects (ABP) in this APS:

1. Threats-based assessment indicates medium to high biodiversity threats including the following:
  - a. habitat loss and degradation due to unsustainable resource use such as inappropriate or exploitative agriculture and/or or extraction of timber and non-timber forest products;
  - b. habitat loss and degradation due to illegal activities such as mining, logging, wildlife trafficking, forest clearing, etc.;
  - c. habitat loss and degradation due to poorly planned and monitored infrastructure development;
  - d. habitat modification due to climate change, resulting in shifting rainfall patterns, freshwater levels, forest and edaphic conditions, etc.;
  - e. habitat modification due to weak governance.
2. Feasibility of achieving demonstrable results in the program's time frame;
3. Political will and host country interest in supporting program objectives;
4. Complementarity with Mission and other donor-funded activities;
5. Support for and complementarity with host country government priorities and programs;
6. Security conditions allow for project implementation and USAID substantial involvement;
7. Opportunities for multi-sectoral approaches, enhancing buy-ins of complementary activities from other sectors (health, education, population-environment, governance, economic growth, etc.);
8. As appropriate, presence of existing USAID-funded or other activities that merit continued support to achieve program results.

b. Priority ABP locations:

Note that USAID strongly encourages applicants proposing activities in Colombia-related areas to ensure that their applications are in line with the “Estrategia Nacional de Conservación y Uso Sostenible de la Amazonia Colombia”, the Government of Colombia’s national strategic plan for the Colombian Amazon region.

Transboundary areas:

- Ecuador/Colombia border zone: (Appropriate areas of Sucumbios and Carchi in Ecuador; Putumayo, Pasto and Caquetá in Colombia).
- Ecuador/Peru/Colombia border zone. (Appropriate areas of Napo in Ecuador; Loreto in Peru; Amazonas in Colombia).
- Peru/Colombia border zone: (Appropriate areas of Loreto in Peru, Amazonas in Colombia).
- Southern Ecuador/Northern Peru border zone (Appropriate areas of Morona Santiago in Ecuador and Amazonas and Loreto in Peru).

Country-specific areas:

- Colombia:
  - Mataven rainforest, Vichada Department
  - Vaupes - Amazonas (Apaporis river Basin; REDD National Pilot Project Area)
  - Departments of Caqueta- Putumayo - Bota Caucana Area (Caqueta river upper basin – Tagua; Orito – Puerto Leguizamo)
  - Territories between Macarena National Park and Chiribiquete National Park (Departments: Meta, Caquetá and Guaviare)
- Peru:

Appropriate areas of:

  - Ucayali,
  - Pasco,
  - Huanuco,

- Madre de Dios,
  - Cusco,
  - San Martin,
  - Amazonas,
  - Loreto including Selva Central Norte (appropriate areas of Marañón, Huallga, Napo and Pastaza watersheds). Distinct from transboundary landscape proposal, above (#3 transboundary area).
- Ecuador:
    - Sucumbios Province: Appropriate areas within the province influenced by the Amazon watershed.
    - Carchi Province: Those portions of eastern Carchi province influenced by the Amazon water shed.
  - Guyana:

Appropriate areas of the Amazon watershed and flanking zones of the Guyana shield in Ministerial Districts No. 6, 7, 8, 9, 10

### **A.5.2. USAID MANAGEMENT**

During ICAA I, USAID program management was centered in USAID/Washington where the four cooperative agreements and the one contract are now managed by one COTR and one AOTR. Program monitoring in each country has been provided on a part time basis by a Point of Contact (POC) in each USAID mission.

The mid-term evaluation strongly recommended that future USAID program management of ICAA be transferred as soon as possible to the field, ideally to Lima, Peru where it would be managed as an element of USAID/Peru’s growing regional platform. (See Annex 5: ICAA External Evaluation Summary of Findings and Recommendations). USAID/Peru and USAID/W have agreed that an ICAA II program management unit (PMU) will be created within USAID/Peru. ~~This unit will report to a new USDH Environment Officer who will have regional responsibilities.~~ In USAID/Washington all ICAA II matters will be coordinated by an “ICAA technical liaison” located in the LAC Bureau.

An ICAA Country Representative (ICR<sup>4</sup>) in the USAID mission will continue to support the program in each participating country (Colombia, Ecuador, Bolivia (tbd)) on a part-time or full-time basis. The ICR is likely to be named the AOTR and/or Activity Manager for any country-specific ICAA II activities that operate only within their country.

New APS awards and all other new FY 2009-2011 procurements will be managed initially in Washington contracts office and will be transferred to the USAID/Peru or to an ICR when the PMU becomes operational, approximately in April 2011.

## **A. 6 RECIPIENT RESPONSIBILITIES**

### **A.6. 1. RELATIONSHIP WITH OTHER ICAA PARTNERS:**

#### **Interactions between the Region-wide Program and the Area-Based Programs**

Together, the Area-Based Programs and the ICAA partners working towards region-wide objectives will form an ICAA community of practice that will benefit from mutual planning, learning, and exchange of knowledge and experiences. While each Area-Based Program (ABP) team will have its own activities to implement, partners will also be expected to invest time and resources in collaborating and identifying synergies with other ABP and regional partners and with host governments. Each ABP should therefore include resources (staff time and funding) to participate in ISU-sponsored events within ICAA II (e.g. trainings, networking, working group(s), annual or otherwise ICAA partner meetings, etc.).

In turn, the ICAA II Support Unit (ISU II) will not only implement some region-wide activities, but will also facilitate overall management of ICAA II together with USAID, supporting the ABPs and providing logistical and administrative support for the Initiative.

ICAA is dedicated to learning from other programs and to adaptively managing its own programs on the basis of knowledge and experience gained from exchanges with other conservation partners in the region. All ICAA II partners will be expected to engage with other Amazon Basin donors and partners, as appropriate, to assess and communicate their successes and challenges to broader audiences, and to apply what they learn through the ICAA community of practice to improve their own program activities. Each ABP should therefore have the technical capacity to communicate with other ICAA partners and USAID via skype and digital/video conferencing.

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<sup>4</sup> Called a Point Of Contact (POC) during ICAA I.

Relationship with ICAA II Support Unit (ISU II): Under USAID direction, the ISU II will provide support services (e.g. coordination of partner meetings, communication/knowledge management, reporting, monitoring and evaluation) to USAID and the ICAA II program (see Annex 2 for details). The ISU II will also manage three Cross-cutting program components (policy, gender, regional institution strengthening) and three Cross-cutting tools (capacity building, information exchange/knowledge management and monitoring/evaluation).

a. Planning: The ISU II contractor will develop workplans and similar documents (e.g. policy agenda) for each of the IRs, cross-cutting program components and will consult with ABP partners in assessing the needs for the ICAA program.

b. Reporting: Each ABP partner will be required to provide annual workplans, annual reports and other documentation to the ISU II for incorporation into ICAA-wide reports.

c. Capacity Building: The ISU II will develop an ICAA-wide Capacity Building Plan in collaboration with all ICAA partners and USAID field missions. This Capacity Building Plan will provide training for ICAA partners and other stakeholders throughout the life of the program. ICAA II applicants should include staff time and travel resources, as appropriate, to participate in and take advantage of these training opportunities.

d. Monitoring and Evaluation: The ISU II will develop an ICAA-wide M&E plan in collaboration with all ICAA partners. This M&E plan will include certain common indicators of performance which must be included in the ABP's M&E system and reported on annually. The ISU II will provide a reasonable degree of technical support to ABP partners to help establish or improve their M&E systems under USAID direction. Each ABP team will be required to establish and maintain their own internal staffing levels, processes and documentation for ABP-level M&E.

Relationship with Implementing Partners who will focus on “Building region-wide collaboration, capacity and commitment” (IRs 2, 3 and 4). This second major program component of the ICAA II program will build region-wide collaboration, capacity and commitment for three major themes identified as essential elements of addressing the growing threats to the biome:

- IR 2: Improving key aspects of Natural Resource Governance (land tenure, legal capacity, openness and transparency)
- IR 3: Increased Capacity to Utilize PES-like and other economic incentive programs (at the national and community levels); and
- IR 4: Gaining greater understanding of key environmental issues and solutions (biodiversity , socio-economic and infrastructure investment issues).

- a. Planning: The implementing partners (primarily the ISU) for these IRs will develop workplans for its activities and will consult with ABP partners in assessing region-wide and landscape specific needs for their technical services and training activities
- b. Technical Support to ABP partners: Based upon workplans approved by USAID, the implementing partners (primarily the ISU) will provide varying levels of technical support to ABP programs in their areas of technical expertise.

#### A. 6. 2. Use of Cost Share for Small Grant Activities

Each Area-Based Program will be responsible for designing a small grants program for its landscape and then for negotiating, awarding, and administering small grants<sup>5</sup>. This is a required component of the Application, as noted in Section B.2.1 and Section C. Small grants are an accepted mechanism to foster and strengthen community-based organizations, small enterprises and indigenous organizations to achieve modest, but important conservation results. The required small grants program may be competitive or non-competitive, at the discretion and design of the Applicant as it best fits within the Technical Application. Successful applicants should present how they would provide capacity-building services to grant recipients to improve recipients' abilities to manage the small grant funds. ABPs should also indicate how they will build recipients' capacities to compete for and administer other funding opportunities in a self-sufficient manner.

ABP awardees will be expected to use cost share funds to finance these small grant activities. USAID anticipates a robust small grants program in all ABP landscapes. Applications should indicate small grant program objectives, the level of small grant matching funds and number of grant recipients anticipated annually and during the duration of the agreement period, if awarded.

## **SECTION B. SELECTION CRITERIA**

### **B.1 OVERVIEW**

A significant portion of funding for this program must meet USAID attribution requirements for biodiversity conservation<sup>5</sup>. Therefore ABP activities under this APS must:

- have an explicit biodiversity objective;

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<sup>5</sup> For more information on USAID's approaches to biodiversity, consult the guide to staff and partners at [http://pdf.usaid.gov/pdf\\_docs/PNADE258.pdf](http://pdf.usaid.gov/pdf_docs/PNADE258.pdf)

- be identified based on an analysis of threats to biodiversity;
- monitor associated indicators for biodiversity conservation;
- intend to positively impact biodiversity. ~~in biologically significant areas.~~

Initiatives under this program are intended to support new and innovative strategies that ultimately will facilitate or catalyze systemic change in how biodiversity conservation is approached within the broader conservation community, including policy initiatives. Programs supported under this APS should be results-oriented and include targets, relevant indicators and benchmarks. Specifically, applications should:

1. Demonstrate success in addressing threats to biodiversity while capitalizing on opportunities for conservation results across diverse sectors.
2. Develop, apply and share innovative knowledge, skills, capacities and tools to advance cross-sector approaches to biodiversity conservation.

For this program, USAID requires that all successful applicants address four critical elements<sup>6</sup>:

- (1) Programs take a threats-based approach to address conservation issues;
- (2) Programs are implemented from the outset with the aim to achieve financial, social and ecological sustainability and are able to articulate clear and attainable goals to achieve sustainability;
- (3) Individual landscapes should be responsive to changing situations, knowledge and enabling conditions; implementation should emphasize adaptive management and effectively adapt to changing conditions; and
- (4) Program successes can be scaled up to increase conservation success at the site level and within the Andean Amazon region.

More details on these four critical elements are found in Annex 3.

**Gender:** USAID is committed to supporting cross sector approaches to biodiversity conservation 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,

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<sup>6</sup> See Annex 3 for additional details on these four critical elements.

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.

USAID requests that applicants do not seek exclusivity contracts with local partners, local organizations and local staff.

### ***Timing and Limitations***

This APS is in effect from the date of this announcement until **July 9, 2011**. Only one agreement will be awarded to an individual organization. Each organization can submit only one application per review round. Applications may include work in more than one landscape but there must be a clear conceptual linkage if more than one landscape is proposed. Applications received in response to an APS shall be evaluated in accordance with the APS evaluation criteria provided in Section B of this APS. If USAID approves a proposed activity and selects it for funding, a letter will be sent informing the applicant that discussions will begin shortly, if necessary.

Note that all applicants may be subject to a pre-award financial and management review and must demonstrate that they have a rigorous financial and monitoring system in place that will ensure auditable systems and records.

Applications must be submitted electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This APS and any future amendments can be downloaded from that Web Site. The address is <http://www.grants.gov>

Receipt of this APS through Grants.gov must be confirmed by electronic notification. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Several of the steps in the [www.grants.gov](http://www.grants.gov) registration process can take several weeks. Therefore, applicants should check with appropriate staff within their organizations immediately after reviewing this solicitation to confirm or determine their registration status with Grants.gov.

**Please note:** In order to safeguard the security of applicants' electronic information, [www.grants.gov](http://www.grants.gov) utilizes a credential provider to confirm, with certainty, the applicant organization's credentials. The credential provider for [www.grants.gov](http://www.grants.gov) is Operational Research Consultants (ORC). Applicants **MUST** register with ORC to receive a username and password which you will need to register with [www.grants.gov](http://www.grants.gov) as an authorized organization representative (AOR). Once your organization's E-Business point of contact has assigned these rights, you will be authorized to submit grant applications through [www.grants.gov](http://www.grants.gov) on behalf of your organization.

Each organization will need to be registered with the Central Contractor Registry (CCR), and you will need to have your organization's DUNS number available to complete this process. For more information regarding the DUNS number, please visit [www.dnb.com](http://www.dnb.com) or call 1-866-705-5711. After your organization registers with the CCR, you must wait approximately three to five business days before you can obtain a username and password. This may delay your ability to post your application. **Therefore, USAID strongly urges applicants to begin this process on [www.grants.gov](http://www.grants.gov) well in advance of when an applicant intends to submit an application for this APS.**

No exceptions will be made for organizations that have not completed the necessary steps to post applications on [www.grants.gov](http://www.grants.gov).

Once registered, the amount of time it can take to upload an application will vary depending on a variety of factors including the size of the application and the speed of your internet connection. In addition, validation of an electronic submission via [www.grants.gov](http://www.grants.gov) can take up to two business days. Therefore, we strongly recommend that you not wait to begin the submission process through [www.grants.gov](http://www.grants.gov).

The [www.grants.gov](http://www.grants.gov) website includes extensive information on all phases/aspects of the [www.grants.gov](http://www.grants.gov) process, including an extensive section on frequently asked questions, located under the "For Applicants" section of the website. USAID strongly recommends that all potential applicants review thoroughly [www.grants.gov](http://www.grants.gov), well in advance of submitting a proposal through the [www.grants.gov](http://www.grants.gov) system.

Direct all questions regarding [www.grants.gov](http://www.grants.gov) registration and submission to:

[www.grants.gov](http://www.grants.gov) Customer Support

Contact Center Phone: +1-800-518-4726

Business Hours: Monday – Friday, 7AM – 9PM Eastern Standard Time

Email: [support@grants.gov](mailto:support@grants.gov)

## **B. 2 EVALUATION CRITERIA**

### **B.2.1. TECHNICAL EVALUATION CRITERIA (100 points total)**

**The Technical Application will be evaluated and scored based on the following criteria. Each Application will be rated on a 100-point scale, with a maximum number of points assigned to each section, as follows. To facilitate review of applications, please organize the**

**narrative sections of the Technical Application in the same order as the selection criteria.**

- **Strategic Fit** (20 points): The likelihood that the program for which funding is sought will make a significant contribution towards achieving goals outlined in this APS. **This includes the small grant component as well an appropriate incorporation of related indigenous issues into the overall conceptual approach and strategic fit.**
- **Technical Approach** (20 points): The degree to which the proposed technical approach and methodology can reasonably be expected to produce the intended outcomes.
- **Sustainability of the Approach** (8 points): The likelihood that activities being supported will continue beyond and without USAID funding. This could mean further program activities are community initiated and led, are institutionalized in local government structures, and/or are taken up by the private sector.
- **Gender Sensitivity** (7 points): The degree/likelihood to which the proposed activities will contribute to gender improvement in closing identified gender gaps for equal participation and benefits of both men and women.
- **Organizational Capability/Teaming** (15 points): The degree to which the organization(s) proposed exhibit core competency in the activity areas described and collaboration with local organizations to provide sustainability. This includes effective teaming or consortia arrangements among multiple organizations, including **management and governance structures and processes. This further includes staffing and communications capacity as well as collaboration potential within and beyond the ABP to other components of ICAA II and other key stakeholders.**
- **Key Personnel** (20%): The application 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.
- **Past Performance** (10%): Applicants must submit a list of up to **fifteen** contracts, grants, or cooperative agreements involving similar or related programs over the past three years, **representing the past performance of the applicant partnership.**

### **B.3 ENVIRONMENTAL COMPLIANCE**

Compliance with USAID Environmental Procedures (22 CFR Reg. 216), including appropriate environmental mitigation and monitoring measures, should be considered an integral and REQUIRED part of all activity development and implementation and should be budgeted appropriately. Through the development of an “Initial Environmental Examination” or IEE, 22 CFR 216 ensures that any unintended environmental impacts of USAID-funded activities are

identified and mitigation measures proposed at the design stage. Subsequently, over the life of the program, these environmental mitigation measures are expected to be a standard component of program management. The applicant must also comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern. No activity funded under this Annual Program Statement can be implemented unless the requirements of 22 CFR 216 have been reached for that activity. Any Mission Environmental Officer can be contacted for further information. For a listing of USAID Environmental Officers and background information on this requirement please refer to the USAID Environment Website ([http://www.usaid.gov/our\\_work/environment/compliance/index.html](http://www.usaid.gov/our_work/environment/compliance/index.html)). Respondents to this APS should include as part of their full technical application a clear statement (no greater than 1 paragraph) of their approach, experience, and/or expertise for achieving environmental compliance, protection and management over the life of the proposed program.

#### **B.4. USAID SUBSTANTIAL INVOLVEMENT**

Should a cooperative agreement be awarded under this APS, USAID will be substantially involved in the award in the following ways to include, but not be limited to:

- a) Approval of the recipient's Implementation Plans, including the M&E plans.
- b) Approval of specified key personnel.
- c) Site visits and appropriate other means of oversight to ensure program outcomes (i.e. USAID application of external evaluations, Data Quality Assessments, etc.)
- d) USAID and recipient collaboration or joint program implementation.

Where there are specific elements in the proposed program for which USAID's technical knowledge would benefit the recipient's successful accomplishment of stated program objectives, the direct provision of USAID expertise and ongoing USAID participation in the program could be authorized.

#### **B.5 POINT OF CONTACT**

For questions please contact Ms. Georgia Fuller, Contract and Agreement Officer, Office of Acquisition and Assistance using the following contact information: [gfuller@usaid.gov](mailto:gfuller@usaid.gov) telephone: 202-712-0551. Please cc: copy Mr. Paul Burford [pburford@usaid.gov](mailto:pburford@usaid.gov) on any questions.

#### **B.6 REFERENCES**

##### **Applicable Regulations & References**

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients  
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- \OMB Circular A-122  
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110  
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance  
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads  
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)
- **Estrategia Nacional Conservación y Sostenibilidad de la Amazonía Colombiana**

## SECTION C. TECHNICAL APPLICATION FORMAT

The structure of this APS is intended to provide the flexibility and intellectual freedom to stimulate creative problem solving and approaches to conservation and sustainable development in the Amazon Basin; innovation is strongly encouraged.

The following application instructions are intended to serve as a guide to help applicants successfully format and communicate their program design to USAID. Technical Applications must include all sections identified below. **Sections 1-3 must be numbered as pages i, ii, iii...** **Within this numeration, the Executive Summary should not exceed three pages. The page limit for Sections 4-10 is 45-pages collectively. Approved Annexes are excluded from the 45-page limit.** Please note that careful adherence to this structure and to fundamentals of clear communication are essential to a successful application. The required sections are listed here and described in more detail below:

1. Cover Sheet
2. Executive Summary

3. Acronym List
4. Strategic Fit and Conceptual Approach
5. Technical Approach
6. Sustainability of the Approach
7. Gender Sensitivity
8. Organizational Capability/Teaming
9. Key Personnel
10. Past Performance
11. Approved Annexes

**1. Cover Sheet**

The following information shall be included on the cover sheet of the application:

Title of the proposed activity

Names of all organizations that are part of the application

Name and contact information for the lead organization

Approval signatures by appropriate officials of the lead organization.

**2. Executive Summary**

The Executive Summary should include at a minimum a presentation of the member organizations and their contribution to the program, the program **strategic objectives and fit with this APS**, geographic focus, a brief summary of the proposed **technical approach** and anticipated results.

**3. Acronym List**

The Acronym List should contain all of the institutional, place name or other acronyms used in the application. Acronyms need not be translated into English. Acronyms should include reference to the country location of institutional or place names, as appropriate.

**4. Strategic Fit and Conceptual Approach**

This section should provide a clear description of the problem(s) or opportunity(ies) the applicants seek to address, their importance, and the general strategy for achieving lasting conservation impacts. Applicants should develop clear hypotheses describing, through cause and effect statements, how their program will achieve results. The likelihood that the landscape program for which funding is sought will make a significant contributions towards achieving goals outlined in the APS should be clear and well connected to the bigger picture of Amazon conservation.

In describing their conceptual approach, Applicants must clearly define a specific geographic focus **within the priority landscapes listed in A.5.1**, including target locations for on-the-ground conservation interventions. Linkages of the application's landscape-based work to **the larger context and challenges of Amazon conservation** should be made explicit. Programs that are narrowly focused, without clear activities and objectives, will not be considered highly competitive.

Funding of conservation work at more than one specific landscape may be proposed. **If more than one priority landscape is proposed, the strategic and conceptual linkages between the landscapes must be made very clear in presenting the application as a coherent program that adds value between/among the landscapes within the program and to the larger context and challenge of Amazon conservation.** Please note that USAID will not necessarily award additional points in the selection process to proposals that work in two or more **landscapes countries**. No advantage is automatically given to broader and bigger proposals. Rather, USAID encourages strategic and innovative approaches to conservation within the identified priority landscapes within the broader context of Amazon conservation.

Complementing these general directions, the Strategic Fit and Conceptual Approach specifically must address the following:

*Overall approach*, including the relationship with **the Intermediate Results for Area-Based Programs (IR 1) in Section A.4 of the APS** and the ICAA priority threats and/or opportunities affecting the priority landscape(s) in the application (see Annex 2 for discussion of ICAA priority threats and opportunities). This shall include goals and objectives of the strategy over the proposed life of the program.

In describing their program concept, Applicants needs to clearly articulate the assumptions and/or hypotheses upon which proposed interventions will be based. **Presentation of the Strategic Fit and Conceptual Approach should coincide with the goals of the APS and the related requirements described in Section B. 1 Overview.** Further, applicants should note the Recipient Responsibilities presented in Section 6.1 and 6.2 when presenting their overall strategic approach.

**Applications shall include conceptual (logical) frameworks or other appropriate graphic description(s) that clearly present the development hypothesis, linking identified threats and/or**

opportunities with proposed interventions leading to anticipated results. These graphic(s) should be of appropriate detail and scale to present clearly the strategic fit and conceptual approach.

*Significance of the biodiversity, other environmental values, and socio-economic values that would be conserved as a result of the proposed interventions in the area(s) to be addressed.*

*Demonstrated commitment and ability of key stakeholders and actors in the area(s) to participate and achieve the Application's conservation objectives. Applicants should indicate how their approach includes working with relevant institutions (governmental and non-governmental). Applicants should demonstrate how their proposed project coordinates with and/or adds value to on-going activities in the landscape(s).*

*Description of how the applicant understands and will address issues related to women and gender, indigenous peoples, youth, the elderly and other traditionally marginalized stakeholder groups, including opportunities to increase fair and equitable participation and build the capacity of these and other stakeholders. This description is in addition to the required gender-specific section of the application, below.*

*Description of how small grants will be utilized in the landscape(s) in order to support the strategic fit and achieve anticipated results. As called for in Section A.6.2 (Recipient Responsibilities), applicants shall present how they will apply match (cost-share funds) to design, implement and measure the impact of a robust small grants program in the proposed landscape(s). The small grants component should be described in accordance with Section A.6.2.*

*Location:* Applications must clearly define the landscape(s) in which they propose to implement activities. This definition shall include both a narrative description and map(s) at an appropriate scale that will allow reviewers to assess the context and approach of the proposed program. The map shall include major rivers, protected or other specially designated areas and appropriate urban centers, **both as reference for the reviewer and including those referenced in the application.** Activities proposed for implementation must be in compliance with all USAID geographic restrictions and policy parameters of the respective USAID Mission in that country.

~~Also note that this requirement does not mean that activities must necessarily occur across border areas. Preference will not necessarily be given to proposals that are strictly cross border in their strategic approach and/or geographic focus.~~

~~USAID understands that the resources and effort necessary to abate some threats are beyond the financial and technical reach of the proposed program. Applicants should, therefore, discuss the consequences of not directly addressing certain threats or, as may be the case, how other programs/donors are doing so and how the proposed program will coordinate with and be complementary to these other initiatives to avoid duplication of efforts and working at cross-~~

~~purposes. Applicants should discuss how USAID funds can leverage community, counterpart and outside contributions to the overall benefit of the program.~~

*Illustrative Description of Life of Program Activities and Results:* This section should describe how the Applicant proposes to implement the strategy described above, including anticipated Goals, Activities and expected Results over the life of the program. **The small grants component, presented in the Strategic Fit, should be integrated appropriately into this description. This shall include biodiversity and other indicators that will be measured as per Section B.1. and in accordance with the overall strategy of the application.** Applicants should develop a performance monitoring methodology to track hypotheses, **indicator performance** and an adaptive approach to management that is flexible enough to change course in response to monitoring results. **Applications should indicate landscape-specific and/or other appropriate indicators that would be applied in their Performance Monitoring Plan in accordance with their conceptual approach and expected results.**

## **5. Technical Approach**

This section should describe how the Applicant proposes to implement the strategy described above, during the first year of implementation, including anticipated activities and expected results. **This shall include biodiversity and other indicators that will be measured as per Section B.1. in accordance with the overall strategy of the application. Also see Annex 3 for further guidance for applications in this regard. To the extent possible, Applicants should express their vision in terms of tangible actions.** In addition, Applicants should show how their performance monitoring methodology will track hypotheses, **indicator performance** and an adaptive approach to management.

This section of the Application shall focus on the *Implementation (Work) Plan for Year One*, which shall include the following sections:

~~This shall include Activities, Goals and Expected Outcomes over the life of the program, including specification by activity of the program's geographic area and implementing partner organization(s).~~

*Specific Goals, Activities, expected Results and costs for the first year of implementation.* This shall also specify activities within the Applicant's landscape(s) and indicate the implementing partner organization(s) responsible for activities and results. **The small grants component, presented in the Strategic Fit, should be integrated appropriately into the first year workplan.** This constitutes the first in a series of annual work plans that will be submitted to USAID for approval, if awarded.

*Environmental impact assessment.* If it is anticipated that proposed activities will have environmental impacts, Applicant(s) must state clearly that environmental considerations will be addressed during program implementation and will be a component of the applicant's annual

work plan. For further information and guidance, consult USAID’s Automated Directive System (specifically ADS 204 – Regulation 216 - available at <http://www.usaid.gov/pubs/ads/>).

*A performance monitoring plan:* The Implementation Plan for each applicant shall include the type and quality of monitoring data to ensure that the consortium will be able to meet USAID reporting requirements under its performance-based results-framework. **Applications should indicate landscape-specific and/or other appropriate indicators that would be applied in their Performance Monitoring Plan in accordance with their conceptual approach and expected results. Further, successful Applicants will also monitor and report as appropriate on the impact of their activities with respect to gender, indigenous people, youth, the elderly, as well as other related and appropriate socio-economic measures.**

Note that during Year 1 of ICAA II, the ISU and USAID will review the continued validity of the ICAA I program-wide indicators, in consultation with ABP (landscape) and other ICAA partners. Successful Applicants under this APS (i.e. the ABP partners) will be required to report on these program-wide indicators.

~~*Applicant governance and management of program implementation.*~~

~~*Coordination with other elements of the ICAA II program (e.g. ISU, other IRs, and Cross-Cutting Themes).*~~

~~*Anticipated Challenges and Potential Responses.*~~

*Replicability and Learning.* The Implementation (Work) Plan, including its performance monitoring data, must be sufficiently detailed to allow for subsequent analysis to generate “lessons learned” for rapid assimilation by other ICAA partners and dissemination to a broader audience outside the ICAA network. **Applicants should indicate how their programs would generate such data that would feed into larger, ICAA-wide replicability and learning processes. Applicants should present how their program will generate replicability and learning, as appropriate within and/or between their proposed landscape(s).**

~~*Sustainability of program achievements.*~~

## **6. Sustainability of Approach**

USAID understands that the resources and effort necessary to abate some threats are beyond the financial and technical reach of the proposed program. Applicants should, therefore, discuss the consequences of not directly addressing certain threats or, as may be the case, how other programs/donors are doing so and how the proposed program will coordinate with and be complementary to these other initiatives to avoid duplication of efforts and working at cross-purposes. Applicants should discuss how USAID funds can leverage community, counterpart and outside contributions to the overall benefit of the program. **Applicants should indicate how their match or cost-share resources will be applied towards the program’s intended results.**

Specific questions such as recurring costs for protection and/or management of particular areas or resources should be addressed, indicating how these services would continue beyond ICAA funding. Financial sustainability plans would constitute a key aspect of successful applications. As noted in Section 6.1 and in Annex 3, applications should indicate how the program will attain and ensure ecological, financial and social sustainability over the life of the program and beyond USAID funding, including partnerships necessary to do so.

## **7. Gender Sensitivity and Equity**

As presented in Section III.5.2, Intermediate Result 5 of ICAA II shall generate awareness and analysis of gender issues and seek to address gender-related inequalities. The ISU shall coordinate overall on these issues, by generating an ICAA-wide gender strategy with successful landscape (ABP-Intermediate Result 1) applicants under this APS. Resulting actions from the ICAA-wide gender strategy will assist the ABPs to include gender-related activities and indicators in their landscape programs. **The ISU will provide some technical assistance and overall ICAA-wide leadership on gender issues.**

However, each ABP (landscape applicant) shall indicate how, at the outset and over the life of the program, they understand and will seek to further analyze and act upon related gender issues. Rote text regarding traditional gender differences between men and women would not necessarily constitute a successful application. Applicants should demonstrate their understanding of gender as a cross-cutting social variable upon which inequities or other differences such as power (economic, personal, social, political), representation, participation, etc. are dependent. As appropriate to the landscape(s) and to the overall strategy and approach, these gender issues should be presented at the respective levels of understanding and intervention (e.g. nation, region, organization, group, community, household, individual, etc.). Applicants should indicate how they would seek to increase their own understanding of and capacity to implement related gender activities, as appropriate. Such gender-related issues and approaches should be referenced, as appropriate, in other relevant sections of the Technical Application Format (e.g. Strategic Fit, Technical Approach, Organizational Capacity, etc.), and should also be made clear in this Section 7.

## **8. Organizational Capacity and Teaming ~~ABP~~ Management Structure and Governance**

USAID seeks applications from environment, development **and related** organizations that come together to achieve the objectives described in their Area-Based Program proposal and ideally will continue to work together after USAID funding is completed in their ABP. **This section shall indicate how the Applicant will comprise and manage a team of organizations that can successfully design, implement and measure the impact of the proposed approach, including addressing issues of organizational equity, capacity building and sustainability for conservation**

results beyond USAID support, as well as collaborating with other components and implementers of ICAA II.

This section shall present how the program would be implemented in terms of the Applicant's management structure and governance and its collective organizational capacity.

The form of this application may be a consortium, a partnership, a prime-sub relationship, or another successful management structure. The structure of the ABP management and governance must be linked to the conceptual and technical approaches that applicants would apply in the respective landscape(s). ~~Applicants must demonstrate a collective set of individual and organizational skills and capacities to carry out and assess proposed activities.~~(this text was **MOVED TO ORG CAPABILITY/TEAMING** Applicants must demonstrate a governance structure that allows for appropriate participation by the members to apply those skills and capacities. This management structure and governance should include appropriate issues of organizational equity and parity of resources over the life of the program. **In part, Applicants should present their program's organizational management and capacity to attend to the Recipient Responsibilities described in Sections 6.1 and 6.2 of the APS.**

Each application must include the following, at a minimum:

- a. An Organizational Chart
- b. A Governance Plan
- c. **A Staffing Plan**

The Organizational Chart shall clearly indicate organizational relationships among the program's participating institutions and relationships with other stakeholders. The Governance Plan must outline the proposed governance, management (including supervisory reporting lines) and decision-making structures for the project, including on programmatic and administrative issues. Applications may include additional chart(s) as needed. **The Staffing Plan should align with the overall organization and governance of the applicant, indicating how the individual staff positions of the program (including the four Key Personnel, four non-Key personnel and others) will be managed for successful implementation. Successful Applicants should clearly present how their Area-Based Program will function and hold itself accountable for achieving results.** Applicants shall indicate the nature of any existing relationships between proposed consortium members (e.g., sub grantee, subcontractor, partnership, etc.).

One organizational member (designated as the "prime") shall be responsible for all consortium management, including all financial management and oversight responsibilities (contingent on meeting USAID pre-award requirements). The prime cannot devolve these responsibilities and shall provide, in English, all required USAID reports on behalf of the entire project team.

Applicants must demonstrate a collective set of individual and organizational skills and capacities to carry out and assess proposed activities. The Technical Application should provide a brief summary of the history of the Applicant's work in natural resources management and biodiversity conservation. The application also must provide evidence of the Applicant's technical resources, expertise and capabilities for implementing similar programs.

The successful Applicant(s) shall bring to the program a breadth of development and biodiversity conservation experience in the Amazon Basin, effectiveness in forming strong partnerships and working together in the field or through networks, and a set of technical skills and expertise that are well-aligned and relevant to the nature of the proposed interventions. Applicants are encouraged to demonstrate the following:

- how the proposed activities are compatible and complementary to the individual organizations' core objectives;
- success in working with diverse groups under a range of conditions;
- effectiveness in bringing such groups together to negotiate compromises and reach consensus;
- success in delivering conservation results, and;
- ability to staff the program and deliver rapid start-up and implementation.

For each organization included in the Application, information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
- Pertinent work experience and representative accomplishments in developing and implementing programs of the type sought under this APS;
- Evidence of a successful record of implementing projects in the region, if applicable;
- Relevant experience with proposed approaches;
- Institutional strength as represented by breadth and depth of experienced personnel in project-relevant disciplines/areas;
- Sub-recipient capabilities and expertise;
- Proposed field management structure and financial controls; and
- Any home-office backstopping and its purposes.

## **9. Key Personnel**

Applicants should provide qualifications and relevant experience of proposed Key Personnel including technical capabilities, interpersonal skills, ability to work under difficult circumstances, and ability to form productive relationships with diverse counterparts. Key Personnel must be based in a country where priority ABP landscapes have been identified in this APS.

As stated in Section B.4, Key Personnel are those specifically to be approved by USAID.

Applicants must identify ~~at a minimum~~ the following four Key Personnel listed below. **The four Key Personnel positions are subject to USAID approval over the life of the Program, including occasions where the individual holding that Key Personnel position is replaced for whatever reason.**

- Program Manager
  - Deputy Program Manager
  - Policy Advisor
  - Financial Officer
- 
- Applicants must present Curriculum Vitae (CV) of all proposed Key Personnel.
  - U.S. State Department's Foreign Service Institute (FSI)-equivalent 3/3 Spanish is a minimum qualification for all Key Personnel;
  - Knowledge of relevant indigenous language(s) is viewed positively.
  - Program Manager must have at least an FSI-equivalent 4/4 English.

~~USAID will approve all Key Personnel.~~

**Non-Key Personnel:** Applicants should identify other important positions and proposed personnel deemed necessary for the successful implementation of the program. **These “non-Key Personnel” positions are not subject to USAID approval, but are evaluated by USAID to determine how the applicant will organize and manage its senior and mid-level managerial and technical staff.** Curriculum Vitae (CV) of these other “non-Key” personnel must be presented, up to a maximum of eight positions (the required four Key Personnel listed above and up to four “non-Key Personnel” positions at the discretion of the applicant).

## **10. Past Performance**

Applicants must submit a list of up to ~~ten~~ **fifteen** contracts, grants or cooperative agreements involving similar or related programs over the past three years. **This list must include at least five past performance references for the prime (lead) organization. This total list of up to fifteen past performance references should also include an appropriate combination of such references for all organizations so that the collective organizational team is best represented to support the application.** Reference information shall include addresses, current telephone numbers, current points of contact, award numbers if available, and brief descriptions of the work performed. Inclusion of a narrative on how the Applicant's past performance addresses selection criteria is advisable. USAID may contact the named references and use the past performance data, with other information, to determine the applicant's responsibility. In evaluating past performance, USAID may contact not only references provided by the Applicant, but also other sources of information.

## 11. Approved Annexes

The following information may be included in annexes and will not count towards the 45-page limit:

- Curricula Vitae for the **Four** Key Personnel
- Signed letters of commitment from proposed Key Personnel
- Curricula Vitae for **up to four** Non-key Personnel
- Signed letters of commitment from each proposed implementing partner **organization**
- Past Performance References
- Staffing Plan
- Organizational/**Governance** Chart(s)
- Performance Monitoring and Evaluation Plan, including proposed indicators
- Work Plan for first year

Please note that the Technical Evaluation Panel reserves the right to require Applicants whose applications have a reasonable chance of being selected for award to present their proposed technical approaches to the Panel in person. If required, such presentation must include one or more of the Applicants' proposed Key Personnel.

## **SECTION D: COST APPLICATION FORMAT**

There is no maximum or minimum dollar value limit for individual Applications under this APS. However, as a reference, USAID anticipates awarding three to five cooperative agreements in the range of \$3 to \$5 million each, totaling approximately \$38 million.

USAID endorses cost-sharing/matching resources as an important principle in USAID-recipient relationships. **Cost-share** or match is non-U.S. Government resources obtained by the Applicant and used to directly support the proposed activities. All cash and in-kind contributions must meet the criteria set forth in 22 CFR 226.23 and may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Cost share is legally binding and reported on a periodic basis on payment forms. USAID has the right to reduce its share of funding if the cost-share reported is less than the agreed upon percentage or amount contained in the award. Finally, if a difference remains after an award has expired, the difference shall be refunded to USAID. In evaluating cost applications, USAID may give preference to proposals with a greater cost-share contribution. Although it is not anticipated that all member organizations contribute equally, it is anticipated that under a consortium team structure all members will contribute at some appropriate level, to be agreed upon by the members.

Applicants also are encouraged to propose intended-but-not-binding “resource leveraging”.

Though resource leveraging is not subject to the requirements of 22 CFR 226.23, entities must be able to demonstrate whether leveraged contributions have been obtained as proposed in program implementation in order to determine whether the desired impacts from the cooperative agreement are being achieved. Likewise, USAID has the ability to revise or withdraw from the cooperative agreement when “resource leveraging” contributions are not forthcoming as originally proposed in the agreement.

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 detail to address the following:

A.3.(a) The cost volume of the application must include a budget with an accompanying budget narrative which provides in detail the total proposed costs for implementation of the program described in this APS. The budget shall be submitted using the Face Sheet-Cost Volume of Application (OMB Standard Form 424) and the Budget Summary (OMB Standard Form 424A),

which are attached to this APS and also can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/SF-424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/).

The cost application shall also include whatever schedules are necessary to adequately support and explain proposed costs, including any cost share.

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.

#### A.3.(b) Budget Narrative

Include a budget with an accompanying narrative which provides in detail the total budget estimates for implementation of the program being proposed. The narrative must provide sufficient information to adequately support and explain all proposed costs, i.e. the actual cost basis for the line items in the detailed budget. This narrative should be a part of the SF-424A form.

#### A.3.(c) Level of Effort

A detailed analysis of the level of effort including specific personnel, rates of compensation, and the amount of time proposed.

#### A.3.(d) Other Direct Costs

Details of all other direct costs items for supplies, equipment, travel and per diem, allowances, consultants, subcontracts, subgrants, etc.

### A.3.(e) Minimum Cost Share

USAID endorses cost-sharing as an important principle in USAID-recipient relationships, and in evaluating applications, USAID will give preference to proposals which cost share/match the anticipated USAID funds with private resources. The amount of cash contribution and in-kind contributions offered must be identified by type, source and estimated value.

NOTE: If the Applicant is a consortium, all members must submit the documentation required by sections A.3.(f) through A.3.(j) below.

### A.3.(f) Negotiated Indirect Cost Rate Agreement

Include the applicant's most recent Negotiated Indirect Cost Rate Agreement (NICRA) from the cognizant Government Audit Agency stating the latest audited indirect cost rates, the base to which such rates are applied and the method of application. If a NICRA is unavailable, submit sufficient information to allow USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, annual financial statements, etc.)

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

- (1) copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- (2) projected budget, cash flow and organizational chart;
- (3) A copy of the 'prime' organization's accounting manual.

A.3.(g) Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy. USAID regulations require that USAID conduct a pre-award audit of new applicants selected for award.

A.3.(h) Completed and signed "**Certifications, Assurances, and other Statements of Applicant/Grantee**" in Section E.

A.3.(i) A copy of the organizational chart for the proposed consortium.

### A.3.(j) Evidence of Responsibility

USAID reserves the right to seek additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- (i) Has adequate resources or the ability to obtain such resources as required to complete the program as described
  
- (ii) Has the ability to comply with the assistance conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  
- (iii) Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
  
- (iv) Has a satisfactory record of integrity and business ethics; and,
  
- (v) Is otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g., EEO).

Cost will be evaluated for reasonableness. Proposals that have more efficient operational systems that reduce operation costs will be more favorably considered. A cost share of 25 percent is recommended<sup>7</sup>.

All applicants will be notified in writing as to the status of their application within 30 days of the award decisions. Note that all applicants may be subject to a pre-award financial review.

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<sup>7</sup> 22 CFR 226.23 provides information on what may be counted as cost share.

Furthermore, organizations that believe they may not meet USAID's financial accountability requirements are encouraged to submit their proposal in partnership with eligible U.S. or international or regional organizations that are experienced with these requirements in order to promote accountability and sustainability.

A(k). **Branding and Marking.** It is a Federal statutory and regulatory requirement (see **Section 641, Foreign Assistance Act of 1961, as amended**, and **22 CFR 226.91**) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or subaward must be appropriately marked with the USAID identity. Under **22 CFR 226.91**, USAID requires the submission of a Branding Strategy and a Marking Plan by the "apparently successful applicant." The apparently successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in **22 CFR 226.91**. The AO evaluates the apparently successful applicant's Branding Strategy and Marking Plan (including any requests for exceptions) for approval, consistent with the provisions "Branding Strategy," "Marking Plan" and "Marking of USAID-funded Assistance Awards" contained in **AAPD 05-11, 22 CFR 226.91**, and **ADS 320**. Please note that in contrast to "exceptions" to marking requirements, waivers to these requirements based on circumstances in the host country must be approved by the cognizant Mission Director or other USAID principal officer [see **22 CFR 226.91(j)**]. Please contact OAA/Policy, General Counsel/Acquisition & Assistance, or USAID's Senior Advisor on Brand Management if you have any questions about the applicability of either **AAPD 05-11** or **22 CFR 226.91**.

Award can not be made until Branding and Marking plan is submitted and approved.

## **SECTION E: CERTIFICATIONS, ASSURANCES, & OTHER STATEMENTS OF RECEIPTS**

### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)**

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NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

#### **PART I - CERTIFICATIONS AND ASSURANCES**

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

*Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.*

(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 Cooperative Agreement 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 was 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 Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all 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, to demand a refund or take other appropriate measures if the Grantee 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 certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to 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, Osama 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.

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

### **PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the

United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

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

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

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

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

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

**PART III - 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 VI - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Facsimile No.
_____			
_____			
_____			

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

TIN: \_\_\_\_\_

**3. 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](mailto:globalinfo@dbisma.com).

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

DUNS: \_\_\_\_\_

#### **4. LETTER OF CREDIT (LOC) NUMBER**

If the 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 subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient'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
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(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, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and 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, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items 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	INTENDED 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 RATIONALE (Generic)	QUANTITY UNIT COST	ESTIMATED (Non-US Only)	PROBABLE SLUPPIER for NON-US	NATIONALITY
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(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) DISPOSITION	QUANTITY	ESTIMATED UNIT COST	PROPOSED
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## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

## 7. TYPE OF ORGANIZATION

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

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

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

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

## **ANNEX 1: DESCRIPTION OF OTHER ICAA II INTERMEDIATE RESULTS**

IRs 2, 3, and 4: Building region-wide collaboration, capacity and commitment: Once again building on the successes of the ICAA I program, the second major program component of the ICAA II program will build region-wide collaboration, capacity and commitment for three major themes identified as essential elements of addressing the growing threats to the biome:

- Improving key aspects of Natural Resource Governance,
- Bolstering the value of natural ecosystems by utilizing PES-like incentive and other economic incentive programs; and
- Gaining greater understanding of key environmental issues and solutions through analysis and research.

IR2: Key Elements of Natural Resource Governance Functioning in Critical locations: The mid-term evaluation identified governance issues and capacity as primary factors in decisions about land use and economic livelihoods across the Andean Amazon. This program component will enhance conflict mitigation skills and the peaceful resolution of environment/conservation issues. Program focus will be:

-Clarification, peaceful dispute resolution and enforcement of land tenure, especially by district and municipal governments, new autonomous territories and by indigenous and communal-land decision making bodies.

- Increased legal capacity and availability of environmental law services including judicial system strengthening, awareness of environmental laws and procedures, and community capacity to engage in adjudication procedures.

-Enhanced transparency, dialogue and information dissemination in environmental decision making.

IR3: Increased Capacity to utilize PES-like incentive and other economic incentive programs (at the National level and at the Community level). In the last few years, PES programs such as REDD+ have moved into the forefront of conservation activities for regions such as the Amazon Basin, Congo Basin and Indonesia. The USG pledged at Copenhagen and at other international fora to provide support to nations and to communities to ensure that they can participate in and benefit from these incentive programs.

Other novel programs have demonstrated the promise of changing unsustainable land management practice by providing economic incentives for a particular commodity (beef, timber, tourism) if that commodity is produced and/or delivered through a carefully structured and monitored system that ensures the conservation of the Amazon rainforest and sustainable

land management practices. Examples include the Walmart-supported beef certification program in Brazil and the ICAA supported tourism lodges in Ecuador and Peru.

This program element will focus on increased capacity for planning and pilot execution of three types of economic incentive programs at the national and community levels:

- Carbon credits,
- PES systems for other than carbon, and
- Commodity certification programs

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Increased capacity at the national level. This activity will strengthen national and sub-national government capacity to set up internationally acceptable systems for establishing baselines for measuring forest carbon and monitoring changes in deforestation and degradation on a periodic basis, and legal frameworks for sustainable use and equitable returns. . It is anticipated that 2-3 Andean countries will welcome USAID assistance, perhaps in concert with other donors, to establish their national programs.

Increased capacity at the community level: The very rural communities of the Andean Amazon are the communities that have the most potential to participate meaningfully and significantly raise their incomes from incentive programs but are also the communities that have the least knowledge of and experience with major national programs. Hucksters already are roaming the Peruvian Amazon trading promises of “get rich quick” schemes for access to prime forest lands

Working through its longer-term area-based projects, ICAA is well positioned to gain the trust of indigenous and other communities that will need assistance in negotiating their participation in incentive schemes and in meeting their commitments under those schemes. The IR3 activities will also work with indigenous alliances, sub-regional governments and other key institutions to develop community capacity more broadly in regions where ABPs do not exist, but there is a strong community demand to participate in incentive programs.

IR 5: Greater understanding of key environmental issues and solutions: As a regional program ICAA II is uniquely situated to fund and support ground-breaking research and analysis that can address knowledge gaps in the Andean Amazon Biome. Most research and analysis will be operational research and secondary research that will increase our knowledge of the growing threats to biodiversity from climate change, the most effective ways to utilize new opportunities such as PES and the potential impact (positive and negative) of proposed new infrastructure investments in the region. Therefore ICAA’s three major areas research and analysis will be:

- Biodiversity
- Socio-Economic Issues
- Infrastructure Investments

ICAA II will utilize U.S. institutions, such as the National Science Foundation, and local institutions to manage grant research and problem analysis programs that will also help develop a cadre of Amazon-basin research specialists. In most cases these programs will utilize Calls for Research Proposals to elicit key topics of interest chosen by the ICAA program and its collaborators. Grants may be made to think tanks, individual researchers, and university graduate programs..

### III.5 Cross-cutting Activities:

ICAA II will support three Cross-Cutting Themes that will be used to help achieve each of the Intermediate Results:

1. Improved Policies and Policy Implementation. ICAA II will address policy issues that support the achievement of broader program objectives and intermediate results. It will develop an Andean Amazon region policy agenda (including new/revised policies and the effective implementation of existing policies) to ensure that ICAA resources are focused on the most relevant policy issues. Illustrative activities include:

- Small grants to NGOs and CBOs to enhance their capacity to engage in advocacy and decision making processes.

- Workshops to ensure that existing policies are clearly understood by stakeholders;

- Improvement of existing policies: establishing a feedback loop from ABPs to policy makers to transfer lessons learned from field practitioners to policy makers;

- Facilitate the work of “country teams” of ICAA partners that will meet periodically to discuss and agree on key national policy issues and policy implementation constraints that should be addressed by the program.

2. Gender Awareness. Two major gender workshops were carried out during ICAA I with objectives to: 1) increase understanding of basic gender concepts, gender analysis and gender action plan methods; and 2) discuss gender integration strategies and help participants to develop gender action plans for their organizations or projects. . By the end of the workshop, each participant had contributed to gender action plans for almost all of the organizations represented and learned a gender action plan methodology.

ICAA II will build on these workshops and will elevate the importance of gender awareness throughout this phase of the program. A program-wide gender analysis will be completed during the first year of ICAA II. This will be followed by development of a program-wide gender action plan, crafted with participation from all of the ICAA II partner organizations. Gender-

related activities will subsequently be introduced or strengthened within the annual workplans of each partner. Gender performance indicators will be included in the ICAA II PMP and in reporting from each partner. The long-term objective will be to institutionalize gender considerations into the plans and activities of each ICAA II partner.

3. Strengthening of selected regional organizations and institutions. Throughout the globe, key messages on NRM management, NR governance and economic incentives are increasingly transmitted efficiently via a web of alliances and regional institutions. ICAA has made limited use of these groups during ICAA I, in part due to the change in the program region from the full Amazon, including Brazil, to the Andean Amazon. None of the regional institutions identified thus far can meet the requirements for a full ICAA regional institutional partner for managing the ICAA program. However, some relatively small institutions show promise as effective regional collaborators for specific elements of the ICAA program.

During the first year of ICAA II, the contractor will update an ICAA I assessment of the potential and the institutional capacity of a set of institutions that work across the Amazon Andes. A small sub-set may then qualify for ICAA II institutional strengthening grants that will build their capacity to support broader ICAA objectives, as well as their own objectives.

#### Cross-Cutting Tools

The Tools that will be primarily used to disseminate these four Cross-Cutting themes across the IRs (and also to support the IR objectives) are:

- a. Capacity Building: exchange learning, workshops, fellowships
- b. Grants and Sub-Contracts: institutional strengthening grants for alliances and key institutions, research grants to individual researchers and learning centers, grants to foster increased access to innovative technologies by both communities and decision makers, and policy analysis<sup>8</sup>.
- c. Information Exchange/Knowledge Management; and
- d. Rigorous Monitoring and Evaluation

The ICAA II contract will be primarily responsible for managing these elements of the program and ensuring their effective use to meet the needs of ABPs and to meet region-wide intermediate results.

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<sup>8</sup> Partners that execute Cooperative Agreements for Area Based Programs will be asked to use matching funds to finance small grants within their program boundaries.

## **ANNEX 2 ADDITIONAL ICAA PROGRAM BACKGROUND**

### Priority Threats in the Andean Amazon Region:

The priority threats identified when the ABCI was designed were summarized as follows:

- Habitat conversion or degradation stemming from unsuitable agriculture or ranching and unsustainable logging or overfishing
- Unplanned or unsuitable infrastructure development
- Conditions of instability or conflict that negatively impact natural resources management
- Low institutional or individual capacity for conservation and environmental management”

These threats remain priorities, but the following additional threats are now present in the region.

- Mining
- Oil Exploration and exploitation
- Poverty level and lack of understanding of Indigenous Populations

### Priority Opportunities in the Andean Amazon region:

The priority Opportunities identified when ABCI was designed were:

- Conservation and management of landscape-scale mosaics consisting of indigenous lands, sustainable development reserves, protected areas, and/or private lands
- Environmental governance and political will in national governments, local governments, and civil society
- Management of freshwater and forest resources”

These opportunities remain but are now enhanced by the availability of a variety of incipient Payment for Environmental Services (PES) programs e.g. Carbon markets, Reduced Deforestation and Degradation – REDD.

Indigenous umbrella institutions are more capable now and can be good partners, and political and market/driven incentives are more prevalent, e.g. Lacey Act, Flegt Initiative than in 2003. Finally, GCC financing programs are much more prevalent now.

### Focus of regional program vs bilateral USAID programs.

Given the common problems and potential common solutions to these problems that are confronting governments and communities across the Amazon Biome, USAID has determined that there are efficiencies of scale in addressing these problems from a regional perspective. USAID regional activities in ICAA II should therefore normally meet at least one of the following criteria:

- a. Activities in one or more countries that fall within an explicit regional strategy that addresses constraints to conservation that are regional in nature or common to the countries of the region., e.g. “improving the capacity of national institutions and local communities to participate in the REDD+ initiative”.
- b. Activities with a common theme where implementation would occur in more than one country and a regional USAID response would be more efficient and would encourage regional interaction and regional learning (e.g. working with indigenous communities);
- c. Activities that could be used as pilots for a promising approach or technology that could be applied to other countries in the region
- d. Research conducted regionally that addresses a common theme, or with a country-specific theme that has regional application
- e. Capacity Building and training that can benefit participants from more than one country
- f. Information Exchange between and among ICAA partners and a wider audience.
- g. Amazon-wide reporting (e.g. State of the Amazon report).

The USAID missions in countries that touch on the Amazon Basin agree on the need for a regional USAID program that will complement bilateral program activities that are inherently more national in scope (e.g. national policy dialogue, strengthening a national park system, conservation activities in non-Amazon regions). These missions will work closely with the ICAA II program to identify, approve and monitor ICAA-funded activities in the Amazon regions of their country. A summary of bilateral USAID programs in the region is found in Annex 4.

The ICAA program will provide opportunities for USAID bilateral missions and USAID/W to finance complementary activities in e.g. health, global climate change, economic growth, and education, in the landscapes of area-based projects. Multi-sectoral program are especially effective when working at the community level where the lives of local populations are not easily divided along the lines of Congressional appropriation categories. Responding to short-term community needs in health and education, for example, is often needed to build the long-term trust relationships with the local communities needed to achieve longer-term conservation objectives.

## ANNEX 3: ADDITIONAL SUBMISSION GUIDANCE

**1. Threats- Based Approach** - USAID's biodiversity programs focus on a threats-based approach ([http://pdf.usaid.gov/pdf\\_docs/PNADE258.pdf](http://pdf.usaid.gov/pdf_docs/PNADE258.pdf); [http://conservationmeasures.org/CMP/IUCN/Site\\_Page.cfm](http://conservationmeasures.org/CMP/IUCN/Site_Page.cfm)) that addresses the main threats to biodiversity, their drivers and enabling conditions. The fundamental component of a threats-based approach is its focus strategic conservation planning and action. All applicants should use a threats-based approach in addressing both landscape/seascape and policy activities. Applications should clearly state known threats identified in one or more recent threat assessments (and whether the threats are site-based, national regional, and/or global) and describe the need for additional assessment of threats. The program description should clearly explain (conceptual model, results-based activities, etc) how threats will be addressed and threat abatement measured. Strategic approaches should structure program design around threats to biodiversity, including root cause threats, but build in flexibility and creativity to capture opportunities and garner constituencies. Where root causes of biodiversity loss are targeted, a clear case for linking proposed action to conservation results should be presented. USAID encourages applicants to identify and take advantage of opportunities to achieve conservation success, catalyze innovation and mitigate the most pressing threats to biodiversity. Applications should identify critical assumptions and discuss potential consequences if these assumptions prove false.

**2. Sustainability** – The primary focus of the ICAA program is the long-term sustainability and viability of globally important biodiversity landscapes and seascapes. This includes the species, ecological communities and ecosystem processes that define a biologically important area. An integral part of that sustainability is the continued social and economic support for the long-term management of an area. In other words, the users and keepers of the landscape/seascapes must value its long-term sustainability in terms of their own interests and sustainability. Inherent in social and ecological sustainability is the practical knowledge that benefits must accrue to the stakeholders and to the landscape/seascape in order to compete with alternative land uses and stresses. Applicants should articulate how their programs will address ecological, social and financial sustainability.

**Ecological sustainability** should be articulated through conservation objectives, but also through addressing the long-term sustainability of any use of natural resources proposed or addressed. Adaptation to climate change will be an important conservation issue in the coming decades. Applicants should articulate any planned analyses and actions for climate change adaptation and/or for increasing resiliency to climate change within a given landscape/seascape. Other ecological sustainability issues may include, but are not limited to, invasive species, fire management, fisheries, unsustainable agriculture/aquaculture practices, and watershed management.

**Social sustainability** in conservation has many facets but the bottom line is that, over time, conservation efforts become institutionalized. When actors at different levels have ownership of conservation efforts, these efforts are more likely to be sustained. Typically, social sustainability involves assuring that conservation efforts build social capital, social resilience and reduce

conflict and vulnerability. At the center of this issue are transparency, good governance and accountability.

There are no easy or straightforward paths to social sustainability, yet it is essential to assure returns to conservation investment. Biologically-defined landscapes/seascapes and ecoregions can comprise many different groups, administrative units and even nations. There are competing needs and agendas at different scales and even within local communities. Benefits for one group can mean loss of power or resources for another group.

Applicants should present their strategy for social sustainability based on an understanding of social dynamics at sites, relevant stakeholders, consortium/ organizational experience, and global best practices. This strategy should outline specific methodologies to be used for assuring social sustainability within a complex social environment. For this program, *relevant stakeholders* are local populations, private sector, non-governmental and community based organizations, local, national and regional governments whose livelihoods and actions affect or are affected by the long-term ecological well-being of the landscape. Applications should also specifically discuss how marginalized people and gender issues will be supported in program design and implementation.

Increasingly, but still too rarely, conservation actions are achieving differing degrees of **financial sustainability** necessary for long-term conservation impact, particularly at the level of a discrete site. Moving to scale to the landscape level, financial sustainability can be particularly difficult to achieve due to the variety of habitats, land uses and stakeholder demand for resources. Recent advances in Payment for Ecosystem Services (PES), especially the potential for carbon markets, has increased the potential for financial sustainability at a large scale.

To support this change, USAID seeks programs that address financial sustainability explicitly from the beginning. The program should have a clear picture of the financial resources needed for priority actions, the potential for financial sustainability and a timeframe for achieving critical results. Applications should address the feasibility and appropriateness of a variety of financial support options, including endowments, small and medium business ventures, payments for ecosystem services, and other financing mechanisms (note that future funding from a different donor does not qualify as sustainable financing.). Analyses of a projected balance of external support and self-supporting financing for priority conservation actions should be included.

Practitioners increasingly recognize that **economic sustainability, including sustainable livelihoods**, within a landscape is best addressed at a scale commensurate with mitigating threats and meeting diverse needs. This broader approach requires collaboration with regional development planners, financial institutions, private sector and market actors.

USAID is committed to working through **partnerships**. USAID recognizes that many organizations are committed to long-term involvement in a site and that funding from this program is only a part of a larger financial and technical support mechanism. However, USAID seeks to work with partners who are committed to fostering a changing relationship between the implementing partners and local communities, private sector actors, local government and other

stakeholders. These partnerships are an extension of social and financial sustainability aspects of a program, however they go beyond these tenets to provide a broader platform for behavior change and growing commitment to conservation.

**3. Adaptive Management.** For effective impact, any conservation program should be adaptively managed. Working at the landscape level involves a range of activities and approaches, most of which are interlinked and interdependent. These activities require the involvement of many stakeholders, each with different timeframes and objectives. The work is complex and ever-changing. As such, programs must be adaptable to changing enabling conditions, policy changes, and opportunities. Likewise, policy initiatives also respond to changing political climates and catalytic opportunities. Programs should therefore be structured in such a way that they monitor their progress, generate timely information for management, and adapt as necessary to achieve conservation impact. Applicants should clearly describe adaptive management processes that will be used to assess progress and utilize data collected to improve decision-making and program implementation and management. This adaptive management framework should include, but not be limited to, a robust and specific Monitoring and Evaluation (M&E) protocol with associated results-oriented indicators for assessing progress towards goals over the life of the program.

**4. Scaling up** – The need for conservation action is currently far larger than available funding can address. Hence, interventions need to foster more broad scale change with greater numbers of people involved and taking action. Conservation impact can be increased when programs (a) are able to use innovative approaches to involve more stakeholders and a wider variety of partners to increase the scale or reach of program impact and, (b) elaborate on their best practices to develop communities of practice for the global conservation and development community. Applications should describe how their program will address:

**Scaling-up impact** – Success can occur through careful planning, opportunistic interventions, and, on occasion, sheer good fortune. Determining why success occurs is key to replicating and increasing programmatic impact. Approaches may include examining issues holistically including the enabling environment for increasing conservation impact as well as using best practices for social change methodologies to scale-up impact.

**Scaling-up knowledge** – Integral to this program is an understanding of the causes and enabling conditions that support sustainable change within a landscape/seascape or at a policy level. USAID's programs seek to foster greater impact through the development and dissemination of best practices in landscape conservation. Managing adaptively is, in many ways, an internal kind of learning. Once learning has occurred at the landscape level, scaling up should foster learning across site based activities, institutions and sectoral practitioner

## ANNEX 4: USAID BILATERAL ACTIVITIES IN THE ANDEAN AMAZON REGION

The following table summarizes bilateral USAID environment and biodiversity activities in the ICAA countries.

<b>Mission</b>	<b>Activity Name</b>	<b>Description/Objectives</b>	<b>FY09 Funding</b> (obligations + carryover)
Bolivia	Bolivian Lowlands Conservation & Sustainable Development Activity	Reduce threats to biodiversity; promote sustainable use of natural resources as platform for productive activities; promote adaptation to climate change; reduce poverty	\$2,249,000.00
Peru	U.S. - Peru Trade Promotion Agreement (PTPA) Environmental Management and Forest Governance Support	Support Peruvian government in implementing PTPA; Improved forest governance, forest-based livelihoods and environmental management through forestry and natural resources programming	N/A: Activity planned for FY10-FY14
Peru	Promoting Long-Term Sustainability of Cordillera Azul National Park	Promote the long-term sustainability of the Cordillera Azul National Park; improve protection of biodiversity and prevent encroachment of coca plantations; identify a sustainable financial mechanism to support park management	\$800,000.00
Peru	International Forestry Certification Mechanism	Provide technical assistance for international certification of sustainably managed forests; promote consolidation and modernization of forest sector activities, including fair, legal and responsible forest-based trade	\$100,000.00
Peru	Forest Sector Initiative	Assist Peruvian government in complying with PTPA's Environment Chapter and Forest Sector Governance Annex, and with the U.S. - Peru Environmental Cooperation Agreement	\$1,500,000.00
Colombia	Conservation Landscapes Program (Note: This program encompasses six national parks, but only one lies in the Amazon region)	Strengthen governance and sustainability in protected areas and buffer zones; build institutional capacity and governance to support long-term conservation, community and cultural preservation, and improved livelihoods; link communities living near protected areas to income-generating sectors and conservation practices that contribute to sustainability	\$3,300,000.00
Ecuador	Watershed Management & Conservation (Note: This project addresses watersheds that straddle the continental divide, so only portions of the project are related to the Amazon region)	Improve financial sustainability and management of protected areas by having water users pay into endowment funds for conserving forests, protecting water resources, and creating education and management programs	\$900,000.00

Ecuador	Integrated Management of Indigenous Territories	The program provides lowland indigenous groups with the technical and institutional resources needed to maintain their traditional territories and to determine their own future. The work helps the Awa, Cofan, and Waorani indigenous groups to secure their lands, strengthen their institutions, improve their livelihoods, and support the long-term conservation of their culture and 1,600,000 hectares of their territory.	\$1,470,000.00
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