

ANNUAL PROGRAM STATEMENT

AmaZONAS Andinas

A collaboration among USAID, the U.S. Department of State, and the Gordon and Betty Moore Foundation, currently entitled *AmaZONAS Andinas*. Annual Program Statement number USAID-W-OAA-GRO-11-00603.

COVER LETTER:

Opening Date: June 2, 2011

Closing Date: May 31, 2012

Overview

The purpose of this Annual Program Statement (APS) is to call for applications for assistance related to *AmaZONAS Andinas*, a collaborative effort among USAID Bureau for Latin America and the Caribbean (USAID/LAC), the U.S. Department of State (Bureau of Western Hemisphere Affairs, Office of the Special Envoy for Climate Change, and Bureau of Oceans and International Environmental and Scientific Affairs), and the Gordon and Betty Moore Foundation. These parties are referred to throughout this APS as USAID, DOS, and the Moore Foundation, respectively.

The overarching goals of *AmaZONAS Andinas* is to reduce net greenhouse gas (GHG) emissions from the forest and land use sector in Ecuador, Colombia, and Peru through: (1) strengthening forest monitoring systems in each country, and (2) supporting one demonstration project in each country designed to show how, through combining a variety of flexible projects and programs, countries can move toward achieving net zero deforestation.

The specific objectives of *AmaZONAS Andinas* are to:

- a. Build institutional and governance capacity at the national and sub-national level on forest monitoring and to manage forest resources sustainably and for reduced emissions; this includes work to enhance regional efficiencies and information sharing.
- b. Develop demonstration projects in defined geographies in each country that demonstrate and test approaches to reducing emissions from deforestation and forest degradation (REDD+), focus on at-risk forests, achieve impact at scale, and that influence and improve larger land use planning, policy processes and forest conservation goals in each country in a way that demonstrates how to move toward net zero deforestation at scale in the longer-term.
- c. Improved stakeholder consultation, particularly with indigenous communities and local NGOs.

Subject to the availability of funds, DOS anticipates providing USAID approximately \$5 million to issue and manage multiple Cooperative Agreements over a three to five year period.

Cooperative Agreements issued by USAID under this APS will be focused on developing a demonstration project in each country, as described in *AmaZONAS Andinas* objective (b), above.

Separately, but in coordination with projects funded through this APS, the Moore Foundation anticipates awarding grants, or managing existing grants, to build institutional and governance capacity at the national and sub-national level to monitor reduced emissions, as described in *AmaZONAS Andinas* objective (a), above. The Moore Foundation is not, however, awarding grants through this APS, nor should this APS be in any way construed as superseding the Moore Foundation's process for developing, awarding, and managing related grants.

Authority for APS

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, awards shall be administered according to 22 CFR 226, OMB Circulars and USAID Standard Provisions, outlined in the following link:

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

Non-U.S NGO's must also adhere to separate Mandatory Standard Provisions, outlined in the following link:

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

Overview of Collaboration

USAID and DOS seek to leverage the impact of the funding that is provided pursuant to this APS by coordinating efforts with host country priorities and other private funders' strategies. To this end, USAID and DOS expect to enter into a memorandum of understanding with the Moore Foundation in order to promote coordination, make a larger impact on the common goals of helping reduce net greenhouse gas (GHG) emissions from the forest and land use sector in Ecuador, Colombia, and Peru, avoid duplication and improve the overall efficiency and effectiveness of all projects.

The *AmaZONAS Andinas* collaboration will therefore capitalize on (a) USAID's contribution to the Forests, Carbon, Markets and Climate task order, Phase II of the Initiative for Conservation in the Andean Amazon's (ICAA) success in biodiversity conservation and engaging local forest communities in sustainable forest management, and relevant USAID bilateral mission work in Colombia, Ecuador and Peru; (b) USAID and DOS's joint support of the SilvaCarbon program to build capacity for mapping and monitoring forest and terrestrial carbon (c) the Moore Foundation's experience through its Andes Amazon Initiative on strengthening the capacity of governments and civil society for forest monitoring and reducing emission due to deforestation and forest degradation; and (d) DOS's work on the United Nations Framework Convention on

Climate Change negotiations and regional climate cooperation under the Energy and Climate Partnership of the Americas (ECPA).

The Moore Foundation is not awarding grants through this APS, but expects that, by coordinating its process for developing, awarding, and managing related grants through the *AmaZONAS Andinas* collaboration, it will be able to achieve greater impact.

USAID Grant Application and Award Process

This APS welcomes applications from U.S. and non-U.S. non-governmental organizations (NGOs), education institutions, partnerships and consortia that could be funded, if selected, from U.S. Government Cooperative Agreements. Pending the availability of funding, USAID anticipates awarding multiple cooperative agreements to fund applications submitted in response to this APS. Out of an estimated \$5 million that USAID expects to have available over a three to five year period for the *AmaZONAS Andinas* collaboration, USAID is planning to approve projects valued at not less than \$1.5 million each through this APS. The projects are anticipated to be primarily or fully funded from DOS funding and managed by USAID.

Applications for funding under this APS should be specifically focused on developing a demonstration project in each country, as described in *AmaZONAS Andinas* objective (b), above. More specifically, preference will be given to applications that propose demonstration projects that conform to the following framework:

Collaboration with the governments and relevant stakeholders in Colombia, Ecuador and Peru to implement an innovative, country-driven demonstration program in each country focused on addressing the drivers of deforestation and making the project zone an example of how to slow, halt and reverse forest cover and carbon loss and move toward net-zero deforestation through a flexible basket of activities such as: improving land use planning; forest governance and sustainable forest management; incentives for conservation programs; improving social and environmental safeguards; reforestation, afforestation, restoration, protected areas and other conservation efforts; forest components of low carbon development strategies, among others. Net zero deforestation is broadly defined for the purpose of this APS as no net loss in forest cover, as well as the longer term maintenance of the total forest carbon stock and ecological quality and resilience of these forested lands. Implementers are strongly encouraged to specify how they will define the project area, their baseline for existing forest condition at the start of the project and how they intend to measure and track progress towards achieving net-zero deforestation within this project area.

Applicants for funding under this APS should indicate clearly and succinctly how their proposed activities will begin to reduce net GHG emissions from the forest and land use sector and demonstrate scalable models for achieving net zero deforestation, including performance indicators and benchmarks (both quantitative and qualitative) to measure these results.

Priority will be given to proposals that include all three countries, as well as to those that have direct links to national forest planning in each country and include a consortium of local partners. Each agreement will run for no less than three years and no more than five years.

To the extent possible, proposed projects should overlap and/or be developed in coordination with USAID's ongoing REDD+ activities in the region, with the ICAA II program, and with the Moore Foundation's REDD+ strategy in Colombia and Peru and its investments in establishing frameworks for REDD+ as a mechanism for payment for ecosystem services, the SilvaCarbon program, and USAID's LAC programs. USAID anticipates reviewing proposals with DOS and the Moore Foundation in order to ensure that projects funded through this APS are compatible with and complimentary to the REDD projects being funded by other collaborators.

The proposed period of performance will be from the date of signature of the cooperative agreement to at least 2014, but not later than September 30, 2016, subject to funding availability. However, applications may describe activities covering no less than three years and no more than five years.

Questions about this APS must be submitted to amazonas@usaid.gov by **June 16, 2011 at 5:00PM EST**. Applications may be submitted at any time up to **July 8, 2011 at 12:00 Noon EST** for the first round of funding under this APS. Only one application may be submitted by per organization per funding round. Applications received in response to this solicitation will be evaluated in accordance with the APS evaluation criteria provided in Section B of this APS.

As indicated, the Moore Foundation may participate in the reviewing of the applications in order to facilitate coordination with its REDD strategy grant making and to further the goals of the public-private *AmaZONAS Andinas* collaboration.

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.

Applicants who have not previously received a USAID award will be subject to a pre-award review process of their accounting systems 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 and should program their time accordingly for registration and application submission. Please note that registration on www.grants.gov can take up to five business days.

The preferred method of submission is www.grants.gov. If an organization cannot submit to that web portal then they may submit their full application package to amazonas@usaid.gov. This may require applicants to submit application documents in more than one email. Please note that if an organization is not applying via grants.gov, the applicant will still need to obtain a DUNS number and register with Central Contractor Registration (CCR).

The APS consists of this cover letter and the following:

Section A: Program Description

Section B: Selection Criteria

Section C: Technical Application Format

Section D: Cost Application Format

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

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 new *AmaZONAS Andinas* public-private collaboration with the State Department, USAID and the Moore Foundation.

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ACRONYM LIST

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| AOTR | Agreement Officer's Technical Representative |
| APS | Annual Program Statement |
| GCC | Global Climate Change |
| ICAA | Initiative for Conservation in the Andean Amazon |
| IQC | Indefinite Quantity Contract |
| GHG | Greenhouse Gas |
| NRM | Natural resources management |
| o/a | On or about (estimated dates) |
| PA | Protected area |
| PES | Payment for Ecosystem Services |
| PMU | (ICAA) Program Management Unit |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation |
| USDH | U.S. Direct Hire (USAID staff) |

SECTION A: PROGRAM DESCRIPTION

A.1 PROGRAM SUMMARY

This Annual Program Statement (APS) disseminates information about the new *AmaZONAS Andinas* collaboration. It provides prospective grantees with an opportunity to develop and submit applications for funding to help meet the overarching goal of collaborating with Colombia, Ecuador and Peru to reducing net GHG emissions from the forest and land use sector in the Amazon regions of each country by developing a net zero deforestation demonstration project in each country. This APS requests applications for “net zero deforestation zone” demonstration projects that support the previously listed objectives of the *AmaZONAS Andinas* collaboration, which are as follows:

- a. Build institutional and governance capacity at the national and sub-national level on forest monitoring and to manage forest resources sustainably and for reduced emissions; this includes work to enhance regional efficiencies and information sharing.
- b. Develop demonstration projects in defined geographies in each country that demonstrate and test approaches to reducing emissions from deforestation and forest degradation (REDD+), focus on at-risk forests, achieve impact at scale, and that influence and improve larger land use planning, policy processes and forest conservation goals in each country in a way that demonstrates how to move toward net zero deforestation at scale in the longer-term
- c. Improved stakeholder consultation, particularly with indigenous communities and local NGOs.

Pending the availability of funding, USAID and DOS anticipate awarding multiple cooperative agreements to fund applications submitted in response to this APS. Each agreement will run for approximately three years.

Applications are welcome from U.S. and non-U.S. Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia that could be funded, if selected, from U.S. government grants. Applicants for funding under this APS should indicate clearly and succinctly how their proposed activities will reduce net GHG emissions from the forest and land use sector in Ecuador, Colombia, and Peru and demonstrate scalable models for achieving net zero deforestation, including performance indicators and benchmarks (both quantitative and qualitative) to measure these results.

Applications may be submitted at any time up to July 8, 2011 for the first round of funding under this APS. Only one cooperative agreement will be awarded to an individual organization. Each organization can submit only one application per anticipated selection round. Priority will be given to applications that include work in all three countries. Applications received in response to an APS shall be evaluated in accordance with the APS evaluation criteria provided in Section B of this APS.

Awards will be subject to availability of funds. USAID anticipates reviewing all applications received by July 8, 2011 for selection and awards under round one.

Applicants who have not previously received a USAID award will be subject to a pre-award review process of their accounting systems 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 and should program their time accordingly for registration and application submission. Please note that registration on www.grants.gov can take up to five business days.

The preferred method of submission is www.grants.gov. If an organization cannot submit to that web portal then they may submit their full application package to amazonas@usaid.gov. This may require applicants to submit application documents in more than one email. Please note that if an organization is not applying via grants.gov, the applicant will still need to obtain a DUNS number and register with Central Contractor Registration (CCR).

The final decision for funding will be based on both a technical review and the availability of DOS funding. USAID and the DOS reserve the right to fund one or more or none of the applications which may be submitted.

A.2 BACKGROUND AND RATIONALE FOR THE AMAZONAS COLLABORATION

The Amazon Basin includes the world's largest intact area of tropical forest and contains immeasurable environmental and cultural wealth. It is the world's largest river basin, the source of one-fifth of Earth's fresh water and contains the most abundant wilderness on the planet. The Amazonian forest is vital to mitigating climate change and to maintaining local livelihoods. However it faces threats from a multitude of drivers of deforestation -- including large infrastructure projects such as roads and dams and clearing the forested lands for timber and agriculture. 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.

The Amazon is a priority forest basin for U.S. government REDD+ efforts, and through efforts like the Energy and Climate Partnership of the Americas, the U.S. seeks to deepen regional climate change cooperation on forest and climate issues. The governments of Colombia, Ecuador and Peru are all in the midst of national planning to reduce Amazon deforestation and are already exchanging information on sustainable forest management and REDD+, particularly on payment for environmental services programs. Shortly after taking office, Colombian President Santos declared his intention to make Colombia a model country in terms of monitoring its forests, reducing carbon emissions, and conserving biodiversity, with the goal of eliminating forest and biodiversity loss completely by 2025. Colombia communicated to the UNFCCC (see UNFCCC Document AWGLCA/2011/INF.1) its commitment to reduce deforestation in the Colombian Amazon rainforest to zero by 2020. In July 2010 the Peruvian Government issued a decree creating the National Program for Forestry Conservation for Climate Change Mitigation. The program will last 10 years and will conserve 54 million hectares of tropical forests. Peru also inscribed its nationally appropriate mitigation action of reducing to zero the net deforestation of primary or natural forests in the Copenhagen Accord and UNFCCC

Document AWGLCA/2011/INF.1. Ecuador's National Development Plan includes provisions on effectively preventing deforestation and conserving ecosystems and on reforestation, afforestation, and natural regeneration and appropriate management of land threatened by soil degradation. Ecuador has created a roadmap for finishing its REDD+ readiness phase by 2013. Its Socio Bosque payment for environmental services initiative has been a model throughout the region for integrating economic incentives, community forest management, and conservation.

Additionally, in the United Nations Framework Convention on Climate Change context, the recently adopted decision in Cancun highlights the importance of slowing, halting and reversing forest cover and carbon loss. It also underscores the need to address drivers of deforestation, land tenure issues, forest governance issues, gender considerations, and social and environmental safeguards ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities, among others. The decision further notes the need to do results-based demonstration activities evolving into results-based actions that should be fully measured, reported and verified.

In this context, DOS, USAID, and the Moore Foundation have decided to collaborate to slow, halt and reverse forest cover and carbon loss to help put Colombia, Ecuador and Peru meet their national climate and forest goals and move toward net-zero deforestation.

A.3 Anticipated results for the Net Zero Zone Demonstration Projects

Develop one demonstration project in each country in a geographically defined zone that provides methodologies, tools and policies that constitute elements of a scalable model for slowing, halting and reversing emissions from deforestation and forest degradation and moving toward net-zero deforestation. As stated earlier, net zero deforestation is broadly defined for the purpose of this APS as no net loss in forest cover, as well as the longer term maintenance of the total forest carbon stock and ecological quality and resilience of these forested lands. Implementers are strongly encouraged to specify how they will define the project area, their baseline for existing forest condition at the start of the project and how they intend to measure and track progress towards achieving net-zero deforestation within this project area.

Net-Zero Zone Demonstration Projects should:

- Be country-driven – aligned with national, sub-national and local governments' planning in each country and involve extensive national, sub-national government, cross-ministry, and stakeholder consultation, particularly with indigenous communities and local NGOs.
- Be defined geographic zones that include a reasonable cross-section of land uses and either track existing sub-national administrative boundaries or target at risk forested lands that may cross administrative boundaries, such as those adjacent to large-scale infrastructure projects.
- Help countries target early net-zero deforestation efforts and better manage some of the drivers of deforestation on some of the most threatened parts of the Amazon.

- Be coordinated with the SilvaCarbon program, the Moore Foundation's Andes Amazon Initiative and other forest monitoring components of the collaboration, not covered in this APS.
- Be flexible depending on ongoing land management, with the goal being that clear and tangible milestones toward sustainable management at scale and a reduction in deforestation within the zone would be in place within 5 years.
- Be a demonstration site to harmonize governance policies and enforcement efforts, develop proper incentive measures and strengthen civil society participation in sustainable land use management that demonstrates how to move toward net-zero deforestation and reduce emissions from forest and land use.

Net Zero Zone activities could include:

- Implementation of performance based incentives programs for indigenous communities, farmers or landowners to encourage sustainable forest management practices with the verifiable reduction of GHG emissions.
- Establishment, or strengthening, of mechanisms for local community, including indigenous communities, participation in decision-making processes related to natural resource management.
- Reforestation, afforestation, restoration and other conservation efforts;
- Capacity building of relevant stakeholders and institutions/organizations on related issues (e.g. communities, government agencies, private sector, NGOs) to improve forest sector governance
- Work to develop carbon monitoring and measurement methodologies and techniques consistent with international recognized standards, appropriately adapted to local circumstances.
- Development of sustainable production systems and sustainable land use strategies that incorporate the value of standing forests and improved forest sector governance.

Expected Results of Net Zero Zone Demonstration Projects include:

- A project implementation strategy that includes overlap with national and sub-national planning efforts and collaboration with host country government.
- The application of forest monitoring systems and data strengthened in demonstration zone in coordination with support for national forest monitoring improvement covered by separate part of collaboration and not covered in this APS.
- Demonstration projects developed in each country that clearly and tangibly support movement toward net-zero deforestation in defined geographic area.
- Reduced emissions from forest and land use sector in demonstration project zones by 2014-16.
- Improved forest sector governance within demonstration project zone.
- Improved sustainable land management in each zone.

- Active participation by governments, stakeholders and local communities in the development and implementation of net zero zone projects and associated land use process dialogues.

Required Indicators of Success:

- Number of tons of CO2 emissions avoided or sequestered in demonstration project zone by 2014 [2016].

Additional Illustrative Indicators of Success:

- Number of hectares with improved forest sector governance and land use planning, including those with the highest emissions reductions potential and land adjacent to large-scale infrastructure projects.
- Local organizations (governmental and/or civil society) are empowered to effectively protect and transparently manage important forest resources.
- Implementation of sustainable land use plan at each demonstration project site.
- Policies and incentives in place that encourage the reduction of deforestation, forest degradation and GHG emissions.

A complete list of USAID's Global Climate Change Indicators and descriptions can be found at: http://www.usaid.gov/our_work/environment/climate/docs/GCC_Handbook_of_GCC_definition_s.pdf. A summary list is available at: http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/publications/upload/GCC_Indicators_Summary_feb11.pdf.

A. 4 PROGRAM APPROACH

A. 4.1. DEMONSTRATION PROJECTS

- a. Net Zero Zone Project Geographic Selection Criteria (not meant to be all-inclusive)

Use the following criteria in selecting the geographic areas for the proposed Net Zero Zones:

1. Political will and host country government (national, regional, local as appropriate) support for zone selection and program objectives;
2. Feasibility of achieving demonstrable results in the program's timeframe;
3. Support for and complementarity with host country government priorities and programs, related USAID work in country, and the Moore Foundation's Andes-Amazon program;
4. Ability to demonstrate medium to high threats to selected area that includes a reasonable cross-section of land uses and could include forested land buffering planned or existing large-scale infrastructure projects or land where there has been recent or has ongoing deforestation.
5. Complementarity with other donor-funded activities;

6. Ability to demonstrate Net Zero Zones can be scaled up and replicated throughout each country and the region.
7. Security conditions allow for project implementation and USAID substantial involvement;
8. Opportunities for multi-sectoral approaches, enhancing buy-ins of complementary activities from other sectors (health, education, population-environment, governance, economic growth, etc.);
9. As appropriate, presence of existing USAID-funded or other activities that merit continued support to achieve program results.

b. Suggested Net Zero Zone Demonstration Project Locations:

- Note that collaborators strongly encourage applicants propose activities in line with each country's national REDD+ planning, national forest and climate action plans and low emissions development strategies, as applicable. Consultations with host Governments have indicated a preference to do a demonstration project in (one of) the following areas in the Amazon in each country:

Ecuador:

- Sucumbíos Province
- Orellana Province

Colombia:

- Chiribiquete National Park and its areas of influence.
- Piedemonte (Eastern slope of Andean mountain range)
- Department of Narino
- Department of Putumayo
- Department of Caqueta
- Department of Huila
- Department of Guiaivare

Peru:

- Department of Loreto
- Department of San Martin
- Department of Madre de Dios

In order to ensure the most impact of activities developed under this APS, preference will be given to projects that demonstrate clear synergies with work underway or planned by other institutions under this *AmaZONAS Andinas* collaboration.

Please reference the following websites for more information on the work supported by the *AmaZONAS Andinas* collaborators :

USAID:

http://www.usaid.gov/locations/latin_america_caribbean/

http://www.usaid.gov/locations/latin_america_caribbean/environment/

http://www.usaid.gov/locations/latin_america_caribbean/country/colombia/

http://www.usaid.gov/locations/latin_america_caribbean/country/ecuador/

http://www.usaid.gov/locations/latin_america_caribbean/country/peru/

Moore Foundation:

<http://www.moore.org/andes-amazon.aspx>

SilvaCarbon:

http://www.usaid.gov/climatechangeweek/docs/silvacarbon_factsheet.pdf

A.4.2. USAID MANAGEMENT

New Cooperative Agreements made under this round of applications under the *AmaZONAS Andinas* APS will be managed initially by the USAID 's Office of Acquisition and Assistance. The Agreement Officer's Technical Representative (AOTR) at USAID will work closely with the State Department (Bureau of Western Hemisphere Affairs and Office of the Special Envoy for Climate Change), the Moore Foundation, and other USAID offices to ensure synergy with other investments by the *AmaZONAS Andinas* collaborators. In particular, *AmaZONAS Andinas* awards will be closely coordinated with USAID's GCC REDD –SL projects, ICAA II, and the Moore Foundation's Andes-Amazon Initiative.

A. 5 RECIPIENT RESPONSIBILITIES

A.5. 1. RELATIONSHIP WITH OTHER PROJECTS:

Interactions Between *AmaZONAS Andinas* Collaboration

All *AmaZONAS Andinas* implementing partners will be expected to engage with other Amazon Basin donors and collaborators, as appropriate, to assess and communicate their successes and challenges to broader audiences, and to apply what they learn to improve their own program activities. The *AmaZONAS Andina* collaboration will be closely coordinated between USAID, DOS, the Moore Foundation, host governments and implementing partners, particularly in the initial phase as net zero zones are being defined in conjunction with country priorities. Throughout the duration of the collaboration, implementers will regularly share reports and participate in in-country coordination efforts with stakeholders.

SECTION B. SELECTION CRITERIA

B.1 OVERVIEW

Initiatives under this APS are intended to support new and innovative demonstration projects focused on net zero deforestation that will become models for slowing, halting and reversing emissions from deforestation and forest degradation that can be sustained replicated across the Andean Amazon region.

Programs supported under this APS should be results-oriented and include targets, relevant indicators and benchmarks. Specifically, applicants and applications should have:

1. Demonstrated success in addressing drivers of deforestation, forest sector governance, sustainable land use planning, and ability to facilitate multi-stakeholder consultations.
2. Demonstrated expertise on the Amazon regions in at least one of the countries, and preferably all three (Colombia, Peru, Ecuador).
3. Developed, applied and shared innovative knowledge, skills, capacities and tools to advance cross-sector approaches to reducing emissions from deforestation and forest degradation.

Gender: USAID is committed to supporting cross sector approaches to climate change that fully integrate the appropriate socio-economic factors for undertaking such approaches in distinct cultural and geographic settings. These factors include, among others: issues of equity and participation with particular emphasis on mainstreaming gender issues. Initiatives supported under this program should treat gender considerations and relevant socio-economic considerations as core factors to be incorporated throughout policy formulation, planning, evaluation, decision making procedures and implementation. In addition, gender mainstreaming involves giving attention to gender equality in relation to institutional practices that set the overall conditions for conservation and development.

Timing and Limitations

This APS is in effect from the date of this announcement until May 31, 2012. The last day to submit applications under funding round 1 is July 8, 2011. This APS will be amended to show deadlines of future funding rounds. Only one agreement will be awarded to an individual organization. Each organization can submit only one application per review round. Priority will be given to applications that include work in all three countries. 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.

The preferred method for submission for applications is 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>. In order to use this method, an applicant must first register on-line with Grants.gov. Please note, this process takes up to five business days, so plan accordingly.

If you have difficulty registering or accessing the APS, please contact Mr. Paul Burford at 202-567-5303 or via e-mail at pburford@usaid.gov for technical assistance.

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.

An alternative method for application submission is also available. If an organization is having difficulty submitting an application to grants.gov, they may submit the application to amazonas@usaid.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** (25 points): The likelihood that the program for which funding is sought will make a significant contribution towards achieving goals outlined in this APS and extent to which it aligns with the country(ies) national climate change and REDD+ planning and goals. Priority will be given to applications that include work in all three countries.
- **Technical Approach** (23 points): The degree to which the proposed technical approach and methodology can reasonably be expected to produce the intended outcomes, including ability to move toward net zero deforestation in each proposed zone. (As referenced earlier, net zero deforestation is broadly defined for the purpose of this APS as no net loss in forest cover, as well as the longer term maintenance of the total forest carbon stock and ecological quality and resilience of these forested lands. Implementers are strongly encouraged to specify how they will define the project area, their baseline for existing forest condition at the start of the project and how they intend to measure and track progress towards achieving net-zero deforestation within this project area.)
- **Sustainability of the Approach** (10 points): The likelihood that activities being supported will continue beyond and without USAID funding; priority will be given to applicants who propose collaboration with local partners/consortia, encourage regional information sharing on best practices, and demonstrate in kind or matching resources and the ability to coordinate work with host government(s) and all appropriate levels and other donors. 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 (10 points): The degree to which the organization(s) proposed exhibit core competency in the activity areas described and collaborates with local organizations to provide sustainability. This includes effective teaming or consortia arrangements among multiple organizations, including management and governance structures and processes.
- Key Personnel (15): 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 ten contracts, grants, or cooperative agreements involving similar or related programs over the past three years, *representing the past performance of the applicant.*

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). 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 and DOS 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. application of external evaluations, Data Quality Assessments, etc.)
- d) USAID and DOS and recipient collaboration or joint program implementation.

Where there are specific elements in the proposed program for which USAID's, the Moore Foundation's or the DOS' technical knowledge would benefit the recipient's successful accomplishment of stated program objectives, the direct provision of the aforementioned expertise 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 at gfuller@usaid.gov and Mr. Paul Burford, Contract Specialist, Office of Acquisition and Assistance at pburford@usaid.gov.

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
- \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

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 be submitted in English and must include all sections identified below. *Sections 1-4 must be numbered as pages i, ii, iii...* Within this numeration, the Executive Summary should not exceed three pages. The page limit for Sections 5-11 is 30-pages. Technical Applications must be submitted in English. Approved Annexes are excluded from the 30-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. Application for Federal Assistance – STANDARD FORM 424/424A/424B
3. Executive Summary
4. *Acronym List*
5. Strategic Fit and Conceptual Approach
6. Technical Approach
7. *Sustainability of the Approach*
8. *Gender Sensitivity*
9. *Organizational Capability/Teaming*
10. Key Personnel
11. Past Performance
12. 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*, proposed thematic or 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 impacts. Applicants should develop clear hypotheses describing, through cause and effect statements, how their program will achieve results. The likelihood that the demonstration project 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 reducing emissions from the forest and land use sector in the Andean Amazon region.

In describing their conceptual approach, Applicants must clearly define a specific geographic focus, including target locations for on-the-ground interventions. Linkages of the application's net zero zones work to *the larger context and challenges of global climate change and Andean Amazon deforestation and degradation* should be made explicit. Programs that are narrowly focused, without clear activities and objectives, will not be considered highly competitive.

No advantage is automatically given to broader and bigger proposals. Rather, this collaboration encourages strategic and innovative approaches within the identified priority areas and the broader context of reducing emissions from the forest and land use sector in the Andean Amazon region.

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

Overall approach, which shall include goals and objectives of the strategy over the proposed life of the program.

In describing their program concept, Applicants need 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 A.5 when presenting their overall strategic approach.*

Significance of the 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 emissions reduction and sustainable forest management objectives.

Description of how the applicant's proposal aligns with the country(ies') forest planning efforts and goals.

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.

Location: Applications must clearly define the proposed demonstration project areas 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.

In describing their program concept, Applicants need to clearly articulate the assumptions and/or hypotheses upon which proposed interventions will be based. 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.

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. 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 proposed demonstration project-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 global climate change and other indicators that will be measured as per Section B.1. in accordance with the overall strategy of the application. 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:

Specific Goals, Activities, expected Results and costs for the first year of implementation. This shall also specify activities within the Applicant’s proposed demonstration project areas and indicate the implementing partner organization(s) responsible for activities and results. 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 proposed demonstration project areas-specific and/or 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.

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 *AmaZONAS Andinas* implementation partners and dissemination to a broader audience outside the *AmaZONAS Andina*’s network. Applicants should indicate how their programs would generate such data that would feed into larger, Partnership-wide replicability and learning processes. Applicants should present how their program will generate replicability and learning, as appropriate within and/or between their proposed demonstration project areas.

6. Sustainability of Approach

The *AmaZONAS Andinas* members understand 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 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 this funding. Financial sustainability plans would constitute a key aspect of successful applications. Applications should indicate how the program will attain and ensure ecological, financial and social sustainability over the life of the program and beyond this funding, including additional collaborations and partnerships.

7. Gender Sensitivity and Equity

Results shall generate awareness and analysis of gender issues and seek to address gender-related inequalities. However, each 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 social variable upon which inequities or other differences such as power (economic, personal, social, political), representation, participation, etc. are dependent. As appropriate to the proposed demonstration project areas 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, community, household, clan, 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 Management Structure and Governance

AmaZONAS Andinas seeks applications from environment, development and related organizations that come together to achieve the objectives described in their proposal and ideally will continue to work together after this funding is completed

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 management and governance must be linked to the conceptual and technical approaches that applicants would apply in the respective proposed demonstration project areas. 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 A.5 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 Key Personnel, non-Key personnel and others) will be managed for successful implementation. Successful Applicants should clearly present how their proposed demonstration project areas 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 respondent(s)' work in climate change, forest monitoring and sustainable forest management. The application also must provide evidence of the organization(s)' technical resources, expertise and capabilities for implementing similar programs.

The successful Applicant(s) shall bring to the program a breadth of development and climate change 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:

- o how the proposed activities are compatible and complementary to the individual organizations' core objectives;
- o 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 sustainable forest management and slowing, halting and reducing emissions from deforestation and forest degradation 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 proposed demonstration project areas 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 the following Key Personnel listed below. The Key Personnel positions are subject to USAID and State Department 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.

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 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 ten 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. Collaborators may contact the named references and use the past performance data, with other information, to determine the applicant's responsibility. In evaluating past performance, collaborators 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 30-page limit:

- Curricula Vitae for the Four Key Personnel

- Signed letters of commitment from proposed Key Personnel
- Curricula Vitae for 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

COST APPLICATION FORMAT

D.1. Projects must be valued at no less than \$1.5 million for each Cooperative Agreement.

D.2. 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:

D.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/.

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.

D.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.

D.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.

D.3.(d) Other Direct Costs

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

D.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.

D.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.

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

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

D.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^[1].

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. 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.

D.(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 cannot be made until Branding and Marking plan is submitted and approved.

^[1] 22 CFR 226.23 provides information on what may be counted as cost share.

SECTION E – REQUIRED CERTIFICATIONS AND REPRESENTATIONS

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

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 assister, 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.

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 |
|---------------------------|----------|---------------------|
|---------------------------|----------|---------------------|

(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 PROBABLE (Generic) | QUANTITY | ESTIMATED UNIT COST | GOODS COMPONENTS SOURCE | PROBABLE GOODS 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 | QUANTITY | ESTIMATED UNIT COST (Non-US Only) | PROBABLE SUPPLIER for NON-US | NATIONALITY |
|-------------------------------|----------|--------------------------------------|---------------------------------|-------------|
|-------------------------------|----------|--------------------------------------|---------------------------------|-------------|

(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 |
|--|----------|------------------------|----------|
|--|----------|------------------------|----------|

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.