



Issuance Date: **April 2, 2012**

Closing Date: **April 2, 2013**

First round of Concept Papers due: **April 30, 2012 11:59 p.m. (midnight)**

Subject: Annual Program Statement (APS) Number M/OAA/GRO/LMA-12-00317 Landscape Programs for the Initiative for Conservation in the Andean Amazon Phase II (ICAA II)

The United States Agency for International Development (USAID) is seeking concept papers and later, applications, from Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia to implement activities to support the Initiative for Conservation in the Andean Amazon (ICAA) with Landscape-based programs. Please note, at this time we are not accepting full applications or proposals. Only concept papers will be reviewed. Instructions on how to prepare a concept paper are provided within this APS.

The authority of this APS is found in the Foreign Assistance Act of 1961, as amended. Awards shall be made and administered in accordance with Standard Provisions for Non-US and US Non-Governmental Organizations in [USAID policy ADS 303](#) "Grants and Cooperative Agreements to Non-Governmental Organizations" and 22 CFR 226. Please note that no profit/fee is allowed under assistance including Grants and Cooperative Agreements. Forgone profit does not qualify as cost-sharing or leveraging.

Subject to availability of funds, the United States Government intends to award approximately 2-3 Cooperative Agreements lasting up to 4 years under this APS. USAID intends to provide approximately \$8 to 10 million for this APS. Should additional funds become available, an amendment to this APS may be issued. USAID however, reserves the right to enter into more, or not to enter into any awards. The award(s) will be made in accordance with evaluation procedures provided in Section V.

For the purposes of this program, this APS is being issued and consists of this cover letter and the following:

- a. Section I – Funding Opportunity Description
- b. Section II – Award Information
- c. Section III – Eligibility Information
- d. Section IV – Application and Submission Information
- e. Section V – Application Review Information
- f. Section VI – Award and Administration Information
- g. Section VII – Agency Contacts
- h. Section VIII – Other

This APS is being issued by the USAID/Washington Office of Acquisition and Assistance. All applications and awards regarding this APS will be managed by the Regional Office of Acquisition and Assistance (ROAA) for South America in USAID/Peru, as the Agency finalizes the transfer of the ICAA program to the regional platform at USAID/Peru.

Interested parties are reminded that concept papers under this APS must be received by the closing date and time indicated at the top of this cover letter. All concept papers must be submitted electronically as a Word document or a pdf attachment via email to:

Ms. Cecilia Yañez  
[LimaSolicitations@usaid.gov](mailto:LimaSolicitations@usaid.gov)  
Regional Acquisition and Assistance Office (ROAA)  
USAID/Peru

The subject line of the email to Ms. Yanez should read as follows: “APS M/OAA/GRO/LMA-12-00317 ICAA II”

Issuance of this APS does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of a concept paper or application. Concept papers and full applications are submitted at the risk of the applicant; should circumstances prevent award of a grant/cooperative agreement, all preparation and submission costs are at the applicant’s expense.

This APS and any future amendments can be downloaded from [www.grants.gov](http://www.grants.gov). All interested parties are highly encouraged to register on [www.grants.gov](http://www.grants.gov) to receive automatic notification of amendments to this APS. It is the responsibility of the Recipient to ensure that they have downloaded the full APS document through the web page mentioned above. USAID bears no responsibility for data errors resulting from transmission or conversion processes. If you have difficulty accessing the APS, please contact Cecilia Yañez at [LimaSolicitations@usaid.gov](mailto:LimaSolicitations@usaid.gov).

Please note, that if requested to submit a full application, your organization must be registered in the Central Contractor Register, and obtain a DUNS number. If your organization has never received an award from USAID, you may be subject to a pre-award survey of your financial systems.

Applicants should retain for their records one copy of their submitted concept paper and any annex that might accompany their submission. Please note that Georgia Fuller is the issuing Agreement Officer for this APS. The Agreement Officer for Q&A and Cooperative Agreement award is Ms. Sonila Hysi in USAID/Peru.

Sincerely,

Georgia Fuller, for Ms. Sonila Hysi, USAID/PERU/ROAA  
Agreement Officer

Attachments: APS

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## **ACRONYM LIST**

AOR	Agreement Officer's Representative
APS	Annual Program Statement
DOI	Department of Interior (U.S. Government)
ETD	Environmental Threshold Decision
GCC	Global Climate Change
ICAA	Initiative for Conservation in the Andean Amazon
ICR	ICAA Country Representative
IEE	Initial Environmental Examination
IR	Intermediate Result; USAID terminology for program objective
IQC	Indefinite Quantity Contract
ISU	ICAA Support Unit (a regional contract implementing partner of ICAA)
LAC	Latin America and Caribbean Bureau of USAID
NRM	Natural resources management
PA	Protected area
PES	Payment for Environmental Services
PMP	Performance Management Plan (monitoring and evaluation)
PPP	Public-Private Partnerships
ROAA	Regional Office of Acquisition and Assistance
USAID	United States Agency for International Development
USAID/W	USAID/Washington
USDH	U.S. Direct Hire (USAID staff)
USG	U.S. Government
USFS	U.S. Forest Service

## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **1. The Initiative for Conservation in the Andean Amazon**

#### **1.1 PROGRAM SUMMARY**

This Annual Program Statement (APS) disseminates information about USAID's Phase II Initiative for Conservation in the Andean Amazon (ICAA II) program and provides prospective recipients with an opportunity to develop and submit concept papers and later, applications for funding to help meet the objectives of ICAA II Intermediate Result 1 -- Selected Landscapes Managed Sustainably.

ICAA is the regional biodiversity conservation program of USAID/LAC. ICAA is designed to work innovatively across and within boundaries to save one of the world's most biodiverse areas by strengthening the region's capacity within civil society and governments for environmental governance, supporting economic incentives such as payments for environmental services to provide alternatives to destructive productive practices, convening national and regional policy dialogues on the main drivers of forest destruction, and empowering local organizations and agencies to create and manage protected areas and indigenous territories.

The Andean Amazon is targeted for project activities because of its exceptionally high level of biological and cultural diversity as well as the headwaters for critical Amazonian watersheds. It also faces rapid changes from large-scale threats, including infrastructure development, and significant opportunities for sustainable conservation and development. Given the common problems and potential common solutions to these problems that are confronting governments and communities across the Amazon Biome, USAID has determined that there are efficiencies of scale in addressing these problems from a regional perspective. As such, ICAA focuses on the Amazon regions of Bolivia, Colombia, Ecuador and Peru. Recognizing that conservation is an inherently social process USAID designed ICAA as a 20-year initiative over four phases from 2006-2026 that will build and consolidate local capacity to manage the dynamic and complex threats to the region's globally important biodiversity, ecosystem functions and cultural heritage.

This APS describes program activities in the 2<sup>nd</sup> 5-year phase of ICAA's projected twenty-year program. This APS solicits concept papers first. If the review panel reviews a concept paper favorably, the ROAA will provide the applicant with instructions on how to submit applications. Phase I of ICAA was a Preparation Phase (2006-2011) that focused on encouraging regional cooperation, participation and capacity building. The second program phase, the Execution Phase, which will be carried out over the next ten years (2011-2021), will focus primarily on the introduction and expansion of best practices in NRM (natural resources management), in governance and in improving livelihoods of the region's population in environmentally sustainable ways. For purposes of USAID procurement, the Execution Phase is divided into two five year periods: ICAA II (2011-2016) and ICAA III (2016-2020). Again, this APS solicits landscape-level program concept papers and then applications for ICAA Phase II (2011-2016). The final program phase, ICAA IV: (2021-2026) will be a Consolidation Phase that focuses on ensuring the long-range sustainability of the most effective interventions, institutions and policies supported in prior years. Any seeming inconsistencies in the dates of what are intended

to be five-year phases are due to the overlap of procurement and implementation periods from one phase to the next.

Concept papers and then applications for landscape-level programs should be designed to achieve concrete results within the Phase II period of 2011-2016, but may indicate more substantial results that the applicant hopes to achieve in their longer-term vision and strategy for the proposed landscape(s). Potential “follow-on” funding for continuation of the program in the Phase III period is not guaranteed and would be subject to a full and open competitive process depending in part on a variety of factors, including performance and availability of funds.

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

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

In this context, this APS welcomes concept papers and then applications from U.S. and non-U.S. Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia. Host country government agencies may be included in proposals as sub-partners. In concert with the USAID Forward objectives, applications led by capable local NGOs are especially encouraged. Applicants are encouraged to visit <http://forward.usaid.gov/> to understand USAID Forward and incorporate these Agency goals appropriately in their applications.

Applicants for funding under this APS should indicate clearly and succinctly how their proposed activities will contribute to an improved condition of biologically significant areas, including mutually agreed-upon performance indicators, benchmarks and outcomes (both quantitative and qualitative) to measure these results. Applicants shall propose a rigorous Performance Management Plan (PMP) for monitoring and evaluation of the impacts generated by their program. Successful applicants will work with USAID and other partners on both the landscape-specific PMP of proposed programs and the required participation of successful applicants in an ICAA-wide PMP that shall demonstrate the conservation impact of ICAA. Applicants for funding under this APS should also indicate a robust program of small grants to be funded by match or cost-share funds to organizations, federations, etc. in their program landscape that will strengthen local capacity complementary to the program’s overall goals and objectives.

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

## 1.2 BACKGROUND AND RATIONALE FOR THE ICAA II PROGRAM

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

ICAA is the regional biodiversity conservation program of USAID/LAC. ICAA is designed to work innovatively across and within boundaries to save one of the world's most biodiverse areas by strengthening the region's capacity within civil society and governments for environmental governance, supporting economic incentives such as payments for environmental services to provide alternatives to destructive productive practices, convening national and regional policy dialogues on the main drivers of forest destruction, and empowering local organizations and agencies to create and manage protected areas and indigenous territories.

The Andean Amazon is targeted for project activities because of its exceptionally high level of biological and cultural diversity as well as the headwaters for critical Amazonian watersheds. It also faces rapid changes from large-scale threats, including infrastructure development, and significant opportunities for sustainable conservation and development. Given the common problems and potential common solutions to these problems that are confronting governments and communities across the Amazon Biome, USAID has determined that there are efficiencies of scale in addressing these problems from a regional perspective. As such, ICAA focuses on the Amazon regions of Bolivia, Colombia, Ecuador and Peru. Recognizing that conservation is an inherently social process USAID designed ICAA as a 20-year initiative over four phases from 2006-2026 that will build and consolidate local capacity to manage the dynamic and complex threats to the region's globally important biodiversity, ecosystem functions and cultural heritage.

This APS solicits applications within the 2<sup>nd</sup> 5-year phase of ICAA's projected twenty year program. Phase I of ICAA was a Preparation Phase (2006-2011) that focused on encouraging regional cooperation, participation and capacity building. The second program phase, the Execution Phase, which will be carried out over the next ten years (2011-2021), will focus primarily on the introduction and expansion of best practices in NRM (natural resources management), in governance and in improving livelihoods of the region's population in environmentally sustainable ways. For purposes of USAID procurement, the Execution Phase is divided into two five year periods: ICAA II (2011-2016) and ICAA III (2016-2020). Again, this APS solicits landscape-level program applications for ICAA Phase II (2011-2016). The final program phase, ICAA IV: (2021-2026) will be a Consolidation Phase that focuses on ensuring the long-range sustainability of the most effective interventions, institutions and policies supported in prior years. Any seeming inconsistencies in the dates of what are intended to be five-year phases are due to the overlap of procurement and implementation periods from one phase to the next.

Concept Papers and then applications for landscape-level program proposals under this APS should be designed to achieve concrete results within the Phase II period of 2011-2016, but may

indicate more substantial results that the applicant hopes to achieve in their longer-term vision and strategy for the proposed landscape. Potential “follow-on” funding for continuation of the program in the Phase III period is not guaranteed and would be subject to a full and open competitive process depending in part on a variety of factors, including performance and availability of funds.

As a regional program of USAID/LAC, ICAA complements a long-standing history and wide array of Mission and other Agency-funded conservation and natural resource management activities in the Amazon Basin. ICAA is designed to work innovatively across and within boundaries to save one of the world’s most biodiverse areas by strengthening indigenous groups, convening national and regional policy dialogues on the main drivers of forest destruction, and empowering local organizations and agencies to create and manage new protected areas and indigenous territories. The USAID missions in countries that touch on the Amazon Basin agree on the need for a regional USAID program that will complement USAID mission managed bilateral program activities that are inherently more national in scope (e.g. national policy dialogue, strengthening a national park system, conservation activities in non-Amazon regions). These Missions work closely with the ICAA II program to identify, approve and monitor ICAA-funded activities in the Amazon regions of their country. When developing full applications, applicants should also be familiar with two other new USG regional initiatives in the region: AmaZONAS Andinas, the Silva Carbon Initiative and Forests, Carbon, Markets and Communities (FCMC).

Being a biodiversity program, activities funded under ICAA must abide by the USAID biodiversity criteria:

- The program must have an explicit biodiversity objective; *it is not sufficient to have biodiversity conservation result as a positive externality from another program;*
- Activities must be identified based on an analysis of threats to biodiversity;
- The program must monitor associated indicators for biodiversity conservation;
- Site-based programs must have the intent to positively impact biodiversity in biologically significant areas.

Beginning in ICAA Phase II, the landscape projects (IR 1) will also use USAID Global Climate Change funding and will contribute “indirectly” to USAID Global Climate Change/Sustainable Landscape objectives. The ICAA II landscape activities co-funded with GCC funds therefore must focus, in part, on GCC objectives such as reducing deforestation and improving governance of indigenous reserves and protected areas that are under threat of deforestation. These activities must provide progress reports on CO2 emissions averted or reduced.

It is anticipated that Congressional directives will continue to provide approximately \$12-15 million annually for this regional program for the five years of Phase II, of which approximately \$45 million will be used for landscape-level projects to achieve the Intermediate Result 1. ICAA II will retain its geographic focus on the Amazon regions of Bolivia, Colombia, Ecuador, and Peru.

Phase I of ICAA, was designed as a five-year program (FY2006-2011). During ICAA I, USAID

funded four field consortia through Cooperative Agreements and an ICAA Support Unit (ISU) funded through a direct contract. The consortia and ISU worked in four countries: Bolivia, Colombia, Ecuador, and Peru.

In the initial year of ICAA II (Fiscal Year 2011), USAID made a number of awards to implement the second phase of the Initiative (2011-2016), as described in Annex 2. These include a direct contract for the ICAA II Support Unit (ISU II) and five landscape-level awards. With this current APS, USAID seeks to select additional landscape-level projects. USAID has also implemented other mechanisms within ICAA II that include USG technical assistance projects with the U.S. Forest Service and the Department of the Interior as well as projects for forest research and higher education partnerships. All ICAA II implementing partners and USAID will work together closely in ensuring regional impact of the Initiative across the four Intermediate Results of ICAA II. (See ANNEX 1: Description of Other ICAA II Intermediate Results for further information).

### **Program Phasing over 20 years**

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

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

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

The final program phase, ICAA IV: (2021-2026) will be a Consolidation Phase that will focus on ensuring the long-range sustainability of the most effective interventions, institutions and policies supported in prior years.

## **1.3 ICAA II PROGRAM GOAL AND INTERMEDIATE RESULTS**

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

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

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

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

Throughout ICAA and across all four Intermediate Results, USAID strongly emphasizes the need to demonstrate measurable impact on conservation in the region. Given USAID's enhanced institutional focus on M&E in all Agency programs, ICAA implementers must be able to provide applicable qualitative and quantitative evidence of impacts and positive changes resulting from ICAA's activities. It is not sufficient to demonstrate outputs such as the number of people trained, but rather USAID seeks concept papers and then applications that demonstrate how they will generate outcomes and impacts. Applicants are encouraged to visit the USAID website for further information on USAID Forward's policy <http://forward.usaid.gov/> and for the Agency's M&E Policy at <http://www.usaid.gov/evaluation/>.

Furthermore, USAID has new policies and practices in how programs are designed and implemented. Within this, the Agency is using the standard tool of the Logical Framework. ICAA applicants under this APS will be asked to present their program in this framework. A key aspect of USAID's programmatic policy is supporting activities that are gender sensitive and equitable. Applicants should see [http://www.usaid.gov/our\\_work/cross-cutting\\_programs/wid](http://www.usaid.gov/our_work/cross-cutting_programs/wid) for further information.

Results anticipated are:

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

Building on the model of the most successful ICAA I consortia programs, ICAA II will expand the number of landscape-based programs from the four funded under ICAA I to ten-twelve over the life of this 20 year program. Most landscape-based projects will be selected through periodic calls for proposals using USAID's Annual Program Statement (APS) mechanism. This APS encourages proposals that take a holistic view of how best to achieve conservation objectives in a particular region, including cross-sectoral, nature-wealth-power and conflict resolution methodologies. Projects should be designed to demonstrate significant progress within four years (from the date of award through September 30, 2016). Applicants interested in a longer-term program that might be funded separately during ICAA III should indicate how they would implement a longer-term program and how they would build the capacity of local organizations to assume management or co-management of what could be a future phase of the program. Funding opportunities for a proposed Phase III of ICAA are not guaranteed and would be awarded competitively, as appropriate.

By looking at the entire Basin ecosystem, the regional component of ICAA II will be able to support the multiple-scale interventions needed to promote comprehensive responses to transnational threats such as illegal logging, uncertain land tenure, wildlife trade, fire, the downstream effects of soil and water contamination, and habitat conversion. This component will build region-wide capacity for conservation and strengthen conservation knowledge and awareness, for resolving governance issues, encouraging PES initiatives at the national and community levels, and promoting research and greater understanding of key environmental issues and solutions. As such, USAID anticipates that that landscape-level awards largely will report impact indicators under IR1. **Conservation impacts generated by landscape-level awards that relate to IRs2, 3 and/or 4 could and should be included in applications under this APS, as appropriate to the landscape program's and anticipated results.**

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

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

IR 4: Greater Understanding of key environmental issues and solutions (Biodiversity issues, Socio-Economic Issues, Infrastructure Investment Issues). The implementing mechanisms for this IR will be the ISU II contract, the USAID Higher Education Partnerships (HED) Program and other partners selected by USAID over the course of the program.

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

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

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

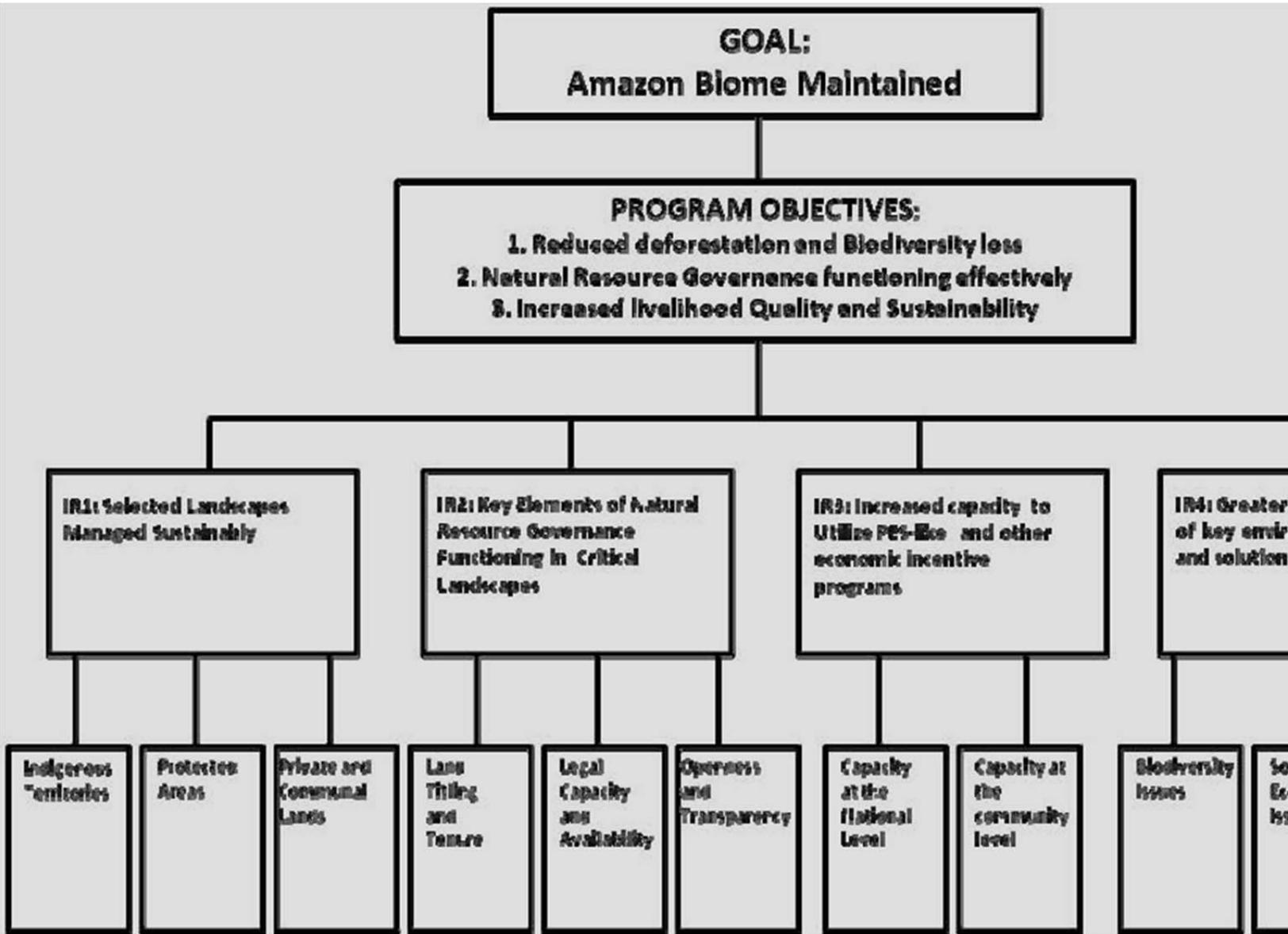
The Tools that will be primarily used to disseminate these Themes across the IRs and to support the four IRS more broadly are:

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

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

ICAA II Results Framework Graphic

(See Annex 4 for a larger- scale version of the Results Framework in Spanish)



Cross-Cutting Themes

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

Cross-Cutting Tools:

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

#### **1.4 INTERMEDIATE RESULTS FOR AREA-BASED PROGRAMS (IR 1)**

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

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

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

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

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

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

#### **RESULTS EXPECTED:**

Activities which fall under this program component include those whose purpose is to support sustainable natural resource use and/or biodiversity conservation in diverse landscapes that potentially address multiple land use goals such as conservation, agricultural production, forestry, fisheries, provision of environmental services, and management of carbon stocks to address climate change. The activities chosen should be identified based on an analysis of threats to biodiversity and should address priority threats and opportunities. Activities may be site-based or not site-specific, such as policy and research. Support may also include education, communication, capacity building and institutional strengthening activities leading to effective natural resource management, improved governance and conflict resolution for issues within or

related to the targeted landscape(s).

ICAA II partners and USAID are finalizing the program-wide indicators that will measure the key impacts of ICAA II. These ICAA-wide indicators represent the combined measures of two or more ICAA mechanisms (either landscape-level agreements, the ICAA Support Unit or one of the four technical assistance mechanisms of DOI, USFS, CIFOR (Center for International Forestry Research) and HED (Higher Education for Development).

Concept papers and then applications under this APS should indicate which of the proposed ICAA-wide indicators they would commit to applying in their own program. See Annex 3 for the list of ICAA-wide performance indicators to which applicants under this APS will be required to contribute. Applicants may select within this list those indicators on which they choose to report. All successful applicants will be required, at a bare minimum, to report on either ICAA-wide Indicator 1 and/or Indicator 2. Concept papers should also present additional illustrative indicators that the landscape program would use to measure impact. Full applications will require additional detail in terms of the expected results (target numbers) for each year of the proposed program, both for the ICAA-wide indicators to which the landscape would contribute and the landscape-specific indicators to be applied.

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

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

Illustrative Activities:

- Participatory community mapping and skill-development in mapping
- Participatory NRM inventory
- Participatory NRM surveillance
- Development of and/or use of a comprehensive plan (land use plan, watershed plan, GCC adaptation plan, etc.) with meaningful participation of indigenous and local people and the private sector and with commitment of appropriate government authorities for the plan's long-term implementation and monitoring
- Establishment of new or strengthening of existing protected areas/indigenous zones.
- Demarcation of community management zones within concessions
- Capacity building of relevant stakeholders and institutions/organizations on related issues (e.g. communities, government agencies, private sector, NGOs)
- Multi-stakeholder mechanisms to address priority threats (eg. Mining, oil, extraction, logging, infrastructure, cattle ranching) at local, national and/or regional level.

Illustrative Indicators of Success:

- Number of hectares in areas of biological significance under improved management as a result of USG assistance
- Number of hectares in areas of biological significance and/or natural resource showing improved biophysical conditions as a result of USG assistance

- Number of people receiving USG-supported training in natural resources management and/or biodiversity conservation.
- Number of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that are implemented as a result of USG assistance
- Number of USG-supported initiatives/mechanisms designed to reduce the potential for violent conflict over the control, exploitation, trade or protection of natural resources
- Quantity of greenhouse gas emissions, measured in metric tons CO2 equivalent, reduced or sequestered as a result of USG assistance in natural resources management, agriculture, and/or biodiversity sectors
- Number of REDD+ tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance
- Number of laws, policies, agreements, regulations addressing REDD+ proposed, adopted, or implemented as a result of USG assistance
- Number of hectares within landscapes (or landscape use zones) with active and approved integrated land use plans.
- Number of stakeholders implementing practices/actions to improve resilience to climate change.
- NRM monitoring institutionalized using local capacity (government and/or civil society).
- Strengthened capacity to monitor NR change.
- Strengthened capacity to adapt to Global Climate Change.
- Number of people trained in GCC issues, especially GCC adaptation and mitigation.
- Number of hectares with effective participatory surveillance programs implemented for monitoring and resolving illegal logging, incursions and/or other NRM resource use or conservation threats.
- Local organizations (governmental and/or civil society) are empowered to effectively protect and transparently manage biologically important natural resources and ecosystem services, including monitoring changes in key biophysical indicators.

## Activity Result 2. Improved Environmental Governance:

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

### Illustrative Activities

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

decision making

- Increase capacity of appropriate government agencies
- Support to legislation reform processes (e.g. protected areas, biodiversity, climate change adaptation and mitigation).

Illustrative Indicators of Success:

- Number of sustainable natural resource management and conservation policies, laws, agreements or regulations implemented. (Definitional Note: policies, laws, agreements and regulations include those formed by government, non-government, civil society and private sector stakeholders)
- Regional/national policies are strengthened, harmonized, and implemented effectively within those sectors that drive biodiversity loss.
- Number of stakeholders using climate information in their decision making.
- Reduction of legal, regulatory and administrative barriers that hamper sustainable NRM and local management/co-management of land.
- Number of strengthened indigenous organizations and federations.
- Number of institutions with improved capacity to address climate change issues.
- Strengthened capacity and implementation by appropriate government agencies.
- Number of households who have obtained documented property rights.
- Number of organizations demonstrating trained competence regarding land tenure and property rights issues.
- Number of NGO/CBO advocacy initiatives and activities implemented.
- Increased transparency of governmental decision making and of resource distribution.
- Number of people receiving training in environmental law, enforcement, public participation and cleaner production policies, skills and techniques.
- Number of people with increased capacity to adapt to the impacts of climate variability and change.
- Number of previously existing land and natural resource-based conflicts resolved in favor of the protection of the most vulnerable populations and local communities involved.

Activity Result 3.Improved sustainable livelihoods:

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

Illustrative Activities

- Identify and respond to responsible markets for key commercial timber and NTFPs (Non-timber Forest Products)
- Reduced Emissions from Forest Destruction and Degradation and other Payment for Environmental Services (PES) schemes

- Encourage improved local management of production zones (fire control, harvest scheduling, water management, surveillance and local regulations to reduce illegal harvesting)
  - Improve awareness of the value of ecosystem services
  - Design and implement PES programs (e.g. water)
  - Creation of public-private partnerships (PPP)
  - Number of obstacles to women's economic activities eliminated.
- Ecotourism

#### Illustrative Indicators of Success:

- Degree of change in monetary value generated from sustainable natural resources or conservation initiatives with respect of the baseline value.
- Royalties and other resources provided via PES-like schemes
- # of hectares under best management practices, perhaps including certification as appropriate
- # of new or existing NR-based and non-traditional enterprises that show increased revenues
- # of people in local communities with increased economic benefits derived from REDD+ related activities.
- Increased household income as a result of ICAA-funded assistance
- Increased transparency of government-managed decisions and resource allocation
- Increased revenues for local residents and communities from PPPs

## **1.5 PROGRAM APPROACH**

### **1.5.1. PRIORITY LANDSCAPE AREAS**

#### a. Landscape Selection Criteria

USAID applied the following criteria in selecting the landscapes listed below for the proposed Landscape-based Projects in this APS:

1. Feasibility of achieving demonstrable results in the program's time frame;
2. Political will and host country interest in supporting program objectives;
3. Complementarity with Mission and other donor-funded activities;
4. Support for and complementarity with host country government priorities and programs;
5. Security conditions allow for project implementation and USAID substantial involvement;
6. Opportunities for multi-sectoral approaches, enhancing buy-ins of complementary activities from other sectors (health, education, population-environment, governance, economic growth, etc.);

7. As appropriate, presence of existing USAID-funded or other activities that merit continued support to achieve program results.
8. Maximum opportunity for USAID, in coordination with other donors, to impact conservation in the region by avoiding excessive geographic overlap of cooperative agreement awards made from previous ICAA II APS rounds. Below is a list of the areas already selected for implementation in ICAA II. Please see Annex 2 for a more descriptive list of current ICAA II mechanisms and partners

Ecuador: Sucumbios and Carchi provinces

Bolivia: Northern La Paz: Madidi National Park and environs of contiguous TCOs

Peru: Various landscapes within the regions of Madre de Dios, Loreto, Cusco, Ucayali and Puno regions. Note that additional landscapes in Peru are not included in this APS in order to maximize opportunities for USAID support to other priority landscapes in the region.

b. Priority landscapes for this APS

Note that USAID will accept concept papers and then applications only for the areas listed below under this APS. Pending the availability of funding and other factors, USAID may amend this APS and might accept applications for other landscapes, but this currently is not foreseen.

Given the ICAA II landscapes previously selected and currently being implemented (See Annex 2 and the information in 5.1. a. 8), USAID will prioritize selection in this APS of landscapes that are in whole or in part in the Colombian and Bolivian Amazon regions. Other transboundary landscape(s) listed below that do not include part of the Colombian and/or Bolivian Amazon are considered as second-tier priorities in the foreseen selection round (i.e. for which concept papers are due on April 30, 2012). Save for this clarification, there is no prioritization in the order in which locations are listed below.

Again, USAID does not at this time foresee the opportunity to consider other applications in this APS beyond the first selection of concept papers (due April 30, 2012). Should resources become available for selection of additional landscapes, USAID may amend this APS.

1. Colombia-specific landscape considerations

- a. National Amazon Strategy: USAID encourages applicants proposing activities in Colombia-related landscape(s) to align their applications with the “*Estrategia Nacional de Conservación y Uso Sostenible de la Amazonia Colombia*”, the “Mesa Amazonica’s” strategic plan for the Colombian Amazon region (<http://www.accionsocial.gov.co/documentos/Cooperacion%20Internacional/Amazonia.pdf>). It is also recommended that applicants make use of the information compiled by Amazonas 2030 ([www.amazonas2030.net](http://www.amazonas2030.net)) and the USAID-supported study under ICAA on the Colombian Amazon (<http://www.amazonia-andina.org/sites/default/files/LIBRO%20Amazonia%20IMPRESION.pdf>) when preparing the required threats-based analysis for their application.

- b. Safety and Security Coordination: USAID advises applicants proposing activities in Colombia of a new USAID/Colombia Mission Order entitled “Adequate Safety and Security Conditions and Required Coordination for USAID Programs in Colombia”. This Mission Order establishes mandatory policies and monitoring criteria that apply to all USAID-funded activities in Colombia. Any applications selected under this APS would have to comply with this new policy and practice under which the verification of security and safety in the activity areas will be continually assessed. These assessments will help USAID-funded partners comply with the criteria listed below and/or help USAID to inform implementing partners of changes in the activity area (i.e. ICAA II landscapes). For the purposes of submitting a concept paper under this APS, applicants should be aware of the criteria listed below and should recognize that, if their concept is developed into a full application that proceeds to an award, they will be responsible for working with USAID/Colombia’s technical office in order to ensure compliance with these criteria.

These are the current criteria, but subject to change:

- That there must not be a high risk that our assistance will put USAID clients (beneficiaries) at risk.
- That there must not be high risk to the safety and security of USAID implementers taking into account the type, location, and scope of the activity.
- That there must not be a high risk that USAID assistance can be co-opted by a non-state actor (i.e. FARC, BACRIM, illegal armed groups or paramilitaries)
- That there must be the ability to adequately monitor and evaluate programs to ensure that USAID’s investment is achieving the appropriate returns.
- That GPS coordinates are taken at each of the project locations (or shape files developed) using the World Geodetic System (WGS 84) cartography standard and reported to USAID.
- That beneficiaries agree in writing that they are not to engage in illicit crop cultivation/processing (coca, opium poppy, marijuana) as condition of USAID’s assistance.
- That all activities that occur or will occur in USAID sponsored Consolidation zones will be actively coordinated with the Regional Management Centers (RCCs), Contract Technical Representatives, and Chief of Party(s) of USAID Consolidation projects.
- Other factors as deemed appropriate by the Inter-Agency coordinator to minimize the risk of undermining state efforts, endangering the lives of implementers or beneficiaries, or loss of the USG (U.S. Government) investment.

## 2. Ecuador-specific landscape considerations

USAID encourages applicants proposing activities in Ecuador-related landscape(s) to ensure that proposed activities are in line with Plan del Buen Vivir and the appropriate land-use plans of local government(s).

### **Transboundary areas:**

Applicants may propose appropriate landscape-level project(s) in the following transboundary areas:

- Colombia/Peru
- Ecuador/Peru transboundary area of the Condor Reserve/International Peace Park
- Colombia/Ecuador transboundary Amazon areas
- The trinational area of Colombia/Ecuador/Peru.

### **Country-specific areas:**

#### Colombia:

- Applicants may propose appropriate landscape-level project(s) in the Colombia Amazon with the following considerations:
  - As specified above in reference to the USAID/Colombia Mission Order on Safety, Security and Coordination, applicants should consider security considerations in any landscape area(s) and ensure that conditions would allow for partner presence and implementation in order to achieve project objectives;
  - Applicants should consider landscapes that reasonably allow the presence and substantial technical involvement of USAID staff including but not limited to regular site visits, environmental compliance activities and/or external evaluations;

#### Bolivia:

- Appropriate area(s) of eastern Santa Cruz;
- Appropriate area(s) of northern La Paz;
- Appropriate area(s) southwestern Beni.

### **1.5.2. USAID MANAGEMENT**

ICAA II is managed by USAID's South America Regional Environment Team (SAR/ENV) within USAID/Peru's South America Regional platform. The SAR-Envteam works closely with ICAA Country Representatives (ICR) in the USAID Missions where ICAA operates (Colombia, Ecuador, Bolivia). The ICR colleagues work with the SAR/ENV team to manage ICAA activities on a part-time or full-time basis, as appropriate. The ICR is likely to be named the AOR and/or Activity Manager for any country-specific ICAA II activities that operate only

within their country. The SAR/ENV team also works closely with environment staff in USAID/W to coordinate communications and reporting on ICAA.

Awards made under this APS will be awarded and managed by the South America Regional Office of Acquisition and Assistance (ROAA) based in the USAID/Peru mission and will be managed on a day-to-day basis by the USAID/SAR-Env or by an ICR.

## **2. AUTHORIZING LEGISLATION**

This program is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

## **3. AWARD ADMINISTRATION**

Cooperative Agreements shall be made in accordance with federal regulations and agency policy. For U.S. and non-U.S. Non-Governmental organizations, award shall be administered according to 22 CFR 226, OMB Circulars and USAID Standard Provisions in [USAID policy ADS 303](#) “Grants and Cooperative Agreements to Non-Governmental Organizations” Cooperative agreement(s) awarded in this APS will include a statement of involvement by USAID in the administration of the award.

This APS is being issued by the USAID/Washington Office of Acquisition and Assistance. All applications and awards regarding this APS will be managed by the Regional Office of Acquisition and Assistance (ROAA) for South America in USAID/Peru, as the Agency finalizes the transfer of the ICAA program to the regional platform at USAID/Peru.

# **II. AWARD INFORMATION**

## **1. ESTIMATED FUNDS AVAILABLE**

Subject to availability of funds, the United States Government intends to award approximately 2-3 Cooperative Agreements lasting up to 4 years each under this APS. USAID intends to provide approximately \$8 to 10 million total for this APS. Should additional funds become available, an amendment to this APS may be issued. USAID however, reserves the right to enter into more, or not to enter into any awards. There is no budgetary minimum or maximum for applications. Rather, USAID anticipates making a range of awards and welcomes applications that are tailored appropriately to the landscape approach and to the absorptive capacity in the proposed landscape(s).

The projects will be funded from USAID’s biodiversity and/or global climate change appropriations.

## **2 RIGHT TO FUND**

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.

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.

## **III ELIGIBILITY INFORMATION**

### **1. ELIGIBILITY REQUIREMENTS**

USAID welcomes concept papers from U.S. and non-U.S. Non-Governmental Organizations (NGOs), education institutions, partnerships and consortia. If a concept paper merits further consideration, the organization will be asked to submit a full application. In concert with the USAID Forward objectives, applications led by capable local NGOs are especially encouraged. Applicants are encouraged to visit <http://forward.usaid.gov/> to understand USAID Forward and incorporate these Agency goals appropriately in their applications.

Only one agreement will be awarded to an individual organization under this APS. Each organization can submit only one concept paper per review round. Note that, at this time, USAID anticipates having only one opportunity to submit concept papers (i.e. one round of review) in this APS.

Concept papers and then applications may include work in more than one landscape but there must be a clear conceptual linkage if more than one landscape is proposed. Full applications received in response to invitations from USAID to submit full applications in this APS shall be evaluated in accordance with the evaluation criteria that will be provided along with such invitation(s).

Biodiversity Funding Requirements: Unless otherwise instructed, all funding for this program must meet USAID attribution requirements for biodiversity conservation<sup>5</sup>. Therefore Landscape-based projects activities under this APS must:

- have an explicit biodiversity objective;
- be identified based on an analysis of threats to biodiversity;
- monitor associated indicators for biodiversity conservation;
- intend to positively impact biodiversity.

Global Climate Change Funding Requirements: A significant portion of funding for this program must ALSO meet USAID “indirect” attribution requirements for “Global Climate Change”. Applicants should assume that the ICAA II landscape activities will be co-funded with GCC funds and therefore must focus, in part, on GCC objectives such as reducing deforestation and improving governance of indigenous reserves and protected areas that are under threat of deforestation. These activities must provide progress reports on equivalent carbon dioxide emissions (CO<sub>2</sub>e) mitigated or reduced.

Concept papers submitted in response to this APS should briefly address these requirements. Further guidance on biodiversity and climate change requirements will be provided to those applicants asked to submit a full application.

## **2. COST SHARING ELEMENT**

USAID endorses cost-sharing/matching resources as an important principle in USAID-recipient relationships. Cost-share is non-U.S. Government resources obtained by the Applicant and used to directly support the proposed activities. Applicants should indicate the level of program cost-share that they will provide towards achievement of program objectives. Past cooperative agreements for landscapes have provided a minimum of 25% in cost-share funding.

Awardees will be expected to use a portion of these cost-share funds to finance a robust Small Grants program. Each awardee will be responsible for designing a small grants program for its landscape and then for negotiating, awarding, administering and monitoring the small grants. Full applications should indicate small grant program objectives, the level of small grant matching funds and number of grant recipients anticipated annually and during the duration of the agreement period, if awarded. The required small grants program may be competitive or non-competitive, at the discretion and design of the Applicant as it best fits within the Technical Application. Concept paper submissions should briefly describe the level of effort and the intended outcomes of a small grants program.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. CONTACT INFORMATION**

Additional information concerning the program may be obtained by calling Ms. Cecilia Yañez, Senior Acquisition Specialist, at 511-618-1432 or via email at [LimaSolicitations@usaid.gov](mailto:LimaSolicitations@usaid.gov).

### **4. APPLICATION FORMAT**

No specific form or format is required for submission of concept papers. At a minimum, the

three types of information below must be included in the concept paper (Basic Information, Technical Information, and Supporting Information). Concept papers, including budget, cannot exceed eight pages. Please number all pages. Map(s) of the proposed landscape(s) should be attached as an annex of one to two pages, maximum. All maps should be formatted to be printed on 8 ½ x 11” paper. This annex does not count within the eight-page limit. No additional annexes are necessary, nor will they be considered in the review process. Concept Papers can be submitted in Spanish or English. For applicants that are invited to submit a full application, the application must be in English and further instructions, the required forms and certifications will be provided at the time the invitation is made.

#### Required contents for Concept Papers:

##### 1. Basic Information:

- Title of the proposed Activity
- Name and address for the lead organization
- Type of organization (i.e., for-profit, non-profit, university, etc.)
- Contact point (lead contact name, telephone, email)
- Names of all organizations that are part of the concept; regional or multi-country concepts should provide the name of at least one local partner for each country targeted in the project. For those applicants subsequently asked to develop a full proposal, applicants may add other partners or otherwise modify the partnership arrangement(s) when developing the full application.

Note that there is no need to include a separate title page and/or institutional logos. Concept papers should respect the eight-page limit.

##### 2. Technical Information

- Clear description of the proposed project including the rationale and approach for how the program will conserve biodiversity and/or mitigate climate change.
- Description of the proposed landscape(s) where the project will be implemented
- Indication of expected results and illustrative indicators to measure impact, including the small grants component to be funded with cost share

##### 3. Supporting Information

- Proposed estimated cost
- Proposed duration of Activity. Note that all activities under this APS will close at the end of ICAA II (September 30, 2016).

All concept papers must be submitted electronically as a Word document or .pdf attachment via email to:

Ms. Cecilia Yañez

[LimaSolicitations@usaid.gov](mailto:LimaSolicitations@usaid.gov)

Regional Acquisition and Assistance Office (ROAA)

USAID/Peru

The subject line of the email to Ms. Yanez should read as follows: “APS M/OAA/GRO/LMA-12-00317 ICAA II”

Those applicants invited to submit a full application will receive further instructions regarding the development and submission of full applications.

## **V. REVIEW INFORMATION**

### **1. REVIEW PROCESS**

Concept papers will be considered if received within the due date and time indicated on the cover page of this APS.

This program will use a two-stage application process. In the first stage, applicants will prepare and submit a concept paper and summary budget, not to exceed eight pages. The objective of the concept paper is to give USAID a clear understanding of the project that is being proposed. It is not intended to provide budget detail, staffing plans, organizational background, or similar detailed information. It should be about the project concept itself, including the purpose of the project, the location(s) where it would be conducted, the number and description of the people or organizations that will benefit, and a general statement of the approach and expected results in order to meet the goals of the APS. The concept paper will be reviewed by a panel of USAID employees, who will determine whether the concept has sufficient merit to warrant preparation of a full application. Applicants will be advised after submission of a concept paper as to whether they are invited to submit a full application based on the concept. Full applications received pursuant to invitation will also be evaluated by a panel of USAID experts.

Full applications may only be submitted by invitation from the USAID/Peru Regional Office of Acquisition and Assistance. Such invitation will be made based on the submission and review of concept papers.

### **2. EVALUATION CRITERIA**

Concept papers will be reviewed based on the following four factors, which are of equal importance:

- proposed contribution to the overall goals and results of ICAA II (strategic fit within ICAA)
- proposed conservation and climate change impacts in the selected landscape(s)
- proposed technical approach
- proposed partnership and organizational capacities and arrangements, including identification of capacity-building needs, to achieve the anticipated conservation results

All full applications will be evaluated on the basis of both Technical and Cost Criteria. The Evaluation criteria for full applications will be provided to those applicants who are invited to submit a full application.

USAID will provide further instruction for the preparation of full applications. USAID will provide some technical assistance to applicants during the full application process, to the maximum extent feasible. Organizations that are invited to submit a full application will be

advised of the availability of such technical assistance.

## **VI. AWARD AND ADMINISTRATION INFORMATION**

USAID shall communicate to all concept paper applicants the results of the concept paper review phase. Those applicants whose concept paper is invited to be developed into a full application will receive this invitation and further instructions for the full application.

When making awards based on the full application(s), Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature by the authorized agent of the successful organization electronically, to be followed by original copies for execution.

### **1. ROLES AND RESPONSIBILITIES**

The recipient shall be responsible to USAID/Peru for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer Representative (AOR) and to the Agreement Officer.

The recipient shall collaborate with USAID and other ICAA partners as part of the regional program. Together, the landscape-level projects (selected under this APS) and the ICAA partners working towards region-wide objectives will form an ICAA community of practice that will benefit from mutual planning, learning, and exchange of knowledge and experiences. While each landscape project team will have its own activities to implement, partners will also be expected to invest time and resources in collaborating and identifying synergies with other ICAA landscape-based and regional partners and with host governments. Each ICAA II Landscape-based program should therefore include resources (staff time and funding) to participate in ISU-sponsored events within ICAA II (e.g. trainings, networking, working group(s), annual or otherwise ICAA partner meetings, etc.). In turn, the ICAA II Support Unit (ISU II) will not only implement some region-wide activities, but will also facilitate overall management of ICAA II together with USAID, supporting the landscapes and providing logistical and administrative support for the Initiative.

ICAA is dedicated to learning from other programs and to adaptively managing its own programs on the basis of knowledge and experience gained from exchanges with other conservation partners in the region. All ICAA II partners will be expected to engage with other Amazon Basin donors and partners, as appropriate, to assess and communicate their successes and challenges to broader audiences, and to apply what they learn through the ICAA community of practice to improve their own program activities. Each Landscape project should therefore be forward-leaning with respect to internet-based communication technologies (e.g. VOIP-based telephone, digital/video conferencing, Google Apps, Skype, Adobe Connect, etc.) and will be expected to maintain the technical capacity to communicate with other ICAA partners and

USAID by variable means under challenging communications circumstances.<sup>1</sup>

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

- a. **Planning:** The ISU II contractor will develop workplans and similar documents (e.g. policy agenda) for each of the IRs, cross-cutting program components and will consult with other ICAA partners in assessing the needs for the ICAA program.
- b. **Reporting:** Each ICAA partner will be required to provide annual workplans, annual reports and other documentation to the ISU II for incorporation into ICAA-wide reports.
- c. **Capacity Building:** The ISU II will develop an ICAA-wide Capacity Building Plan in collaboration with all ICAA partners and USAID field missions. This Capacity Building Plan will provide training for ICAA partners and other stakeholders throughout the life of the program. ICAA II applicants under this APS should include staff time and travel resources, as appropriate, to participate in and take advantage of these training opportunities.
- d. **Monitoring and Evaluation:** The ISU II will develop an ICAA-wide M&E plan (also called a PMP or Performance Management Plan) in collaboration with all ICAA partners. This M&E plan will include certain common indicators of performance which must be included in the Landscape programs' M&E systems and reported on annually. USAID plans that all ICAA partners will use an on-line and centralized system for M&E, including both indicator data and narratives for performance monitoring.

The ISU II will provide a reasonable degree of technical support to Landscape partners to help establish or improve their M&E systems under USAID direction. Each Landscape team will be required to establish and maintain their own internal staffing levels, processes and documentation for M&E of their projects. A revised set of ICAA-wide impact indicators is presently being prepared by the ISU in concert with other ICAA partners. See Annex 3 for a list of the ICAA-wide shared indicators. Each landscape award under this APS will have to adopt and report on some of these ICAA-wide indicators as part of their contribution to measuring ICAA's regional impact.

## 2. **USAID SUBSTANTIAL INVOLVEMENT**

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<sup>1</sup>Partners will also need to be aware of and to sometimes coordinate elements of their program with new regional USG supported programs: AmaZonasAndinas, Silva Carbon and FCMC. More information about these programs is found in Annex 5.

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

- a) Approval of the recipient's Implementation Plans
- b) Approval of Key Personnel
- c) Approval of Recipient's Performance Management Plans (PMPs)

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

## **VII. AGENCY CONTACTS**

The Agreement Officer for Awards made under this APS is:

Ms. Sonila Hysi  
Supervisory Agreement Officer  
Regional Acquisition and Assistance Office (ROAA)  
USAID/Peru  
Av. La Encalada s/n, cdra. 17  
Monterrico, Lima 33  
Peru  
Tel: 51-1-618-1435  
[shysi@usaid.gov](mailto:shysi@usaid.gov)

The A&A Specialist for this APS is:

Ms. Cecilia Yañez  
Senior A&A Specialist  
Regional Acquisition and Assistance Office (ROAA)  
USAID/Peru  
Av. La Encalada s/n, cdra. 17  
Monterrico, Lima 33  
Peru  
Tel: 51-1-618-1432  
[LimaSolicitations@usaid.gov](mailto:LimaSolicitations@usaid.gov)

Agreement Officer Representatives (AORs) for these Awards are:

AORs for these awards will be determined later.

## VIII. OTHER

Instructions and notices included in this section refer to the full applications that USAID may invite following review of concept papers. Applicants are advised that further instructions will be issued for the development of full applications and that successful applicants will have to comply with USAID Branding and Marking rules and regulations, as well as other Agency requirements to be communicated with the invitation to submit a full application.

### **BRANDING STRATEGY - ASSISTANCE (December 2005)**

#### (a) Definitions

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

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

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

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

### (c) Submission Requirements

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

#### (1) Positioning

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

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

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

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

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

#### (2) Program Communications and Publicity

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

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

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

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

*What is the main program message(s)?*

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

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

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

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

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

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

### (3) Acknowledgements

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

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

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

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

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

## **MARKING PLAN – ASSISTANCE (December 2005)**

### (a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

- (i) the program deliverables that the recipient will mark with the USAID Identity,
- (ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and
- (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

- (i) what program deliverables will not be marked with the USAID Identity, and
- (ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

## **MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)**

### (a) Definitions

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

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

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

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

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

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

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

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

#### (b) Marking of Program Deliverables

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

with the USAID Identity.

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

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

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

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

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

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

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

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

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

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID

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

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [*Agreement Officer fill-in*] days after the effective date of this provision. The plan will include:
  - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
  - (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
  - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
  - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
  - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
  - (iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;
  - (iv) USAID marking requirements would impair the functionality of an item;
  - (v) USAID marking requirements would incur substantial costs or be impractical;

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

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

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

(d) Waivers.

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

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

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

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

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

(e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs,

projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

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

ICAA II has four Intermediate Results as presented in Section I. This APS seeks applications to support IR 1: Selected Landscapes Managed Sustainably. In conjunction with the landscape-based activities, IRs 2, 3, and 4 will build region-wide collaboration, capacity and commitment: for Andean Amazon conservation within the three major themes identified as essential elements of addressing the growing threats to the biome:

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

IR2: Key Elements of Natural Resource Governance Functioning in Critical locations: ICAA II recognizes governance issues and capacity as primary factors in decisions about land use and economic livelihoods across the Andean Amazon. This program component will enhance conflict mitigation skills and the peaceful resolution of environment/conservation issues.

Program focus will be:

- Clarification, peaceful dispute resolution and enforcement of land tenure, especially by district and municipal governments, new autonomous territories and by indigenous and communal-land decision making bodies.
- Increased legal capacity and availability of environmental law services including judicial system strengthening, awareness of environmental laws and procedures, and community capacity to engage in adjudication procedures.
- Enhanced transparency, dialogue and information dissemination in environmental decision making.

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

Other novel programs have demonstrated the promise of changing unsustainable land management practice by providing economic incentives for a particular commodity (beef, timber, tourism) if that commodity is produced and/or delivered through a carefully structured and monitored system that ensures the conservation of the Amazon rainforest and sustainable land management practices. Examples include the Walmart-supported beef certification program in Brazil and the ICAA supported tourism lodges in Ecuador and Peru.

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

- Carbon credits,

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

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

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

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

IR 4: Greater understanding of key environmental issues and solutions: As a regional program ICAA II is uniquely situated to fund and support ground-breaking research and analysis that can address knowledge gaps in the Andean Amazon Biome. Most research and analysis will be operational research and secondary research that will increase our knowledge of the growing threats to biodiversity from climate change, the most effective ways to utilize new opportunities such as PES and the potential impact (positive and negative) of proposed new infrastructure investments in the region. Therefore ICAA’s three major areas research and analysis will be:

- Biodiversity
- Socio-Economic Issues
- Infrastructure Investments

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

#### Cross-cutting Activities:

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

## Intermediate Results:

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

- Small grants to NGOs and CBOs to enhance their capacity to engage in advocacy and decision making processes.
- Workshops to ensure that existing policies are clearly understood by stakeholders;
- Improvement of existing policies: establishing a feedback loop from ABPs to policy makers to transfer lessons learned from field practitioners to policy makers;
- Facilitate the work of “country teams” of ICAA partners that will meet periodically to discuss and agree on key national policy issues and policy implementation constraints that should be addressed by the program.

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

ICAA II will build on these workshops and will elevate the importance of gender awareness throughout this phase of the program. A program-wide gender analysis will be completed during the first year of ICAA II. This will be followed by development of a program-wide gender action plan, crafted with participation from all of the ICAA II partner organizations. Gender-related activities will subsequently be introduced or strengthened within the annual workplans of each partner. Gender performance indicators will be included in the ICAA II PMP and in reporting from each partner. The long-term objective will be to institutionalize gender considerations into the plans and activities of each ICAA II partner.

3. Strengthening of selected regional organizations and institutions. Throughout the globe, key messages on NRM management, NR governance and economic incentives are increasingly transmitted efficiently via a web of alliances and regional institutions. During the first year of ICAA II, the contractor will update an ICAA I assessment of the potential and the institutional capacity of a set of institutions that work across the Amazon Andes. A small sub-set may then qualify for ICAA II institutional strengthening grants that will build their capacity to support broader ICAA objectives, as well as their own objectives.

## Cross-Cutting Tools

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

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

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

## **ANNEX 2: ICAA II Results and Implementing Mechanisms**

ICAA II Results:

- 1: Landscapes Managed
- 2: Environmental Governance Functioning
- 3: Increased Capacity for Economic Incentives
- 4: Greater Understanding of Key Issues

Result 1: Landscapes Managed (*awards as of Oct, 2011; additional awards expected*)

- **Indigenous Landscapes cooperative agreement (Peru and Ecuador):** USAID awarded a five-year cooperative agreement to The Nature Conservancy (TNC) to support conservation of biodiversity in two geographic mosaics in Peru and Ecuador. The program, entitled “Indigenous Landscapes: Ensuring Conservation and Capacity for Indigenous Lands Conservation”, will be implemented by TNC, Peruvian NGO Instituto del Bien Común (IBC), Ecuadorian NGO Fundación para la Sobrevivencia de los Cofanes (FSC), Ecuadorian indigenous federation FEINCE (Cofan) and regional NGO COICA (the Coordination of Indigenous Organizations in the Amazon Watershed). The program objectives are to conserve critical biodiversity found on indigenous lands and in surrounding areas by (1) strengthening indigenous organizations, (2) reducing threats to indigenous lands and important biodiversity areas, and (3) establishing mechanisms for improved livelihoods over the long term.
- **Purus Manu Conservation Corridor (PMCC) cooperative agreement (Peru):** USAID awarded a four-year cooperative agreement to the World Wildlife Fund (WWF) to support conservation of the Purus Manu Conservation Corridor (PMCC). The program, entitled “Conserving the Amazon Headwaters of the Purus Manu Conservation Corridor (PMCC)”,

will be implemented by WWF, CARE, Frankfurt Zoological Society, and Organización Regional de AIDSESEP Ucayali (ORAU). The PMCC is a 10 million hectare corridor that straddles the regions of Ucayali, Cuzco, and Madre de Dios in southern Peru and contains the headwaters of four major rivers systems. It includes a core of protected areas of about 4.7 million hectares; four territorial reserves for indigenous groups in voluntary isolation, titled indigenous lands, as well as forest concessions and a conservation concession. The program objectives are to: 1) ensure effective conservation of the protected areas of the PMCC; 2) implement sustainable land use practices and control illegal activities in the human landscapes of the PMCC; and 3) create an enabling policy framework that ensures the long term conservation of the PMCC and the socio-economic well-being of its inhabitants.

- **Biodiversity, Livelihoods and Governance in Loreto and Madidi-Manu (Bolivia and Peru):** USAID awarded a five-year cooperative agreement to the Wildlife Conservation Society (WCS) to conserve biodiversity, secure rural livelihoods and promote the sustainable use of natural resources in two of the most ecologically important landscapes of the Andean Amazon, Loreto (Peru) and Madidi-Manu (Bolivia-Peru). The program, entitled “Biodiversity, Livelihoods and Governance in the Loreto and Madidi-Manu Landscapes”, will be implemented by WCS with two Peruvian sub-partners: the Sociedad Peruana de Derecho Ambiental (SPDA) and the Fondo de las Américas del Perú (FONDAM). The project has four strategies: 1) Securing land and resource-use rights and coordinating effective governance systems; 2) Expanding the use of market mechanisms for conservation and sustained poverty alleviation; 3) Building natural resource governance skills and experience; and 4) Building strong and effective constituencies for conservation.
- **Regional Environmental Management in Madre de Dios:** USAID awarded a five-year cooperative agreement to the University of Florida (UF) to consolidate regional environmental management capacity in the southern Peruvian Amazon. The program, entitled “Consolidating Regional Environmental Management in Madre de Dios for the 21<sup>st</sup> Century”, will be implemented by UF, the Madre de Dios Special Project (PEMD, a governmental agency), the National Amazonian University of Madre de Dios (UNAMAD), and two NGOs—the Woods Hole Research Center (WHRC), and Futuro Sostenible (with Centro EORI). The program will include research, training/outreach, and policy engagement and management planning focused on four large-scale threats to terrestrial and aquatic ecosystems in the Madre de Dios region: mining, dams on watersheds, climate change, and highways.

## Result 2: Environmental Governance Functioning

- **ICAA II Support Unit (ISU II) contract:** USAID awarded a four-year contract to International Resources Group (IRG) to support biodiversity conservation activities in the Peruvian, Colombian, Ecuadorian and Bolivian Amazon. Implementation will be led by SPDA (a prominent Peruvian NGO). The ISU will focus on the following objectives: (1) Increased program support services for ICAA landscape & region-wide activities; (2) functioning of key elements of natural resources governance in critical landscapes; (3) Increased capacity to utilize Payment for Environmental Services and other

economic incentive program; and (4) Greater understanding of key environmental issues (biodiversity, social and investment in infrastructure) and solutions.

- Many of the landscape-level projects listed above contribute to achieving ICAA II Intermediate Result 2, including having related performance indicators in their respective landscape-level PMP and reporting towards the shared indicators for IR 2 of the ICAA-wide PMP.

### Result 3: Increased Capacity for Economic Incentives

- **ICAA II Support Unit (ISU II) contract.**
- Many of the landscape-level projects listed above contribute to achieving ICAA II Intermediate Result 3, including having related performance indicators in their respective landscape-level PMP and reporting towards the shared indicators for IR 3 of the ICAA-wide PMP.

### Result 4: Greater Understanding of Key Issues

- **ICAA II Support Unit (ISU II) contract.**
- **USG Technical Assistance on Protected Areas Management:** USAID has put in place an interagency agreement with the U.S. Department of Interior (DOI) to contribute to overall ICAA II objectives by providing liaison among regional government agencies on protected area management and technical support and networking for indigenous territorial management.
- **USG Technical Assistance on Forest Governance and Management:** USAID has put in place an interagency agreement with the U.S. Forest Service (USFS) to contribute to overall ICAA II objectives by providing technical guidance, training and policy analysis to ICAA II partner organizations regarding issues of illegal logging, sustainable forest management and forest governance.
- **Building University Partnerships for Andean Amazon Development and Conservation:** USAID has set up a task order with Higher Education for Development (HED) to contribute to overall ICAA II objectives by providing networking, technical support and research collaboration to universities in the Andean Amazon region on cross-sectoral issues linked to Amazon conservation and sustainable development, with a particular emphasis on indigenous issues.
- **Center for International Forestry Research (CIFOR):** USAID has signed an agreement for CIFOR to carry field-based research in Peru and Ecuador to generate a greater understanding of factors affecting forest use and management behavior of smallholders and communities, including land tenure arrangements, forest regulatory frameworks, and market conditions and, therefore, why local actors opt to maintain forest cover, degrade the forest, or

deforest it through clearing. The project will analyze land use change, property rights regimes and tenure security, forest management systems, and perceptions and pressures affecting a variety of smallholder and indigenous actors at the landscape scale.

Note: As the DOI, USFS, HED and CIFOR programs further define their activities, they may also report impact from their activities as contributing to IRs 2 and 3 in addition to IR 4.

### **Annex 3: ICAA II Program-wide Indicators (final draft as of March 6, 2012)**

Concept papers should indicate illustratively which of these indicators the program intends to use. Full applications under this APS will be required to indicate which of these indicators will be reported on in the landscape-level PMP, along with detailed annual performance targets.

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#### **INDICADORES**

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N° 1. Número de hectáreas en áreas de importancia biológica y recursos naturales bajo manejo mejorado como resultado de la asistencia del Gobierno de los Estados Unidos (indicador estándar 4.8.1-26).

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N° 2. Número de hectáreas de significancia biológica y recursos naturales mostrando condiciones biofísicas mejoradas como resultado de la asistencia del Gobierno de los Estados Unidos (indicador estándar 4.8.1-1).

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N° 3. Número de personas con beneficios económicos incrementados derivados del manejo sostenible y conservación de recursos naturales como resultado de la asistencia del Gobierno de los Estados Unidos (indicador estándar 4.8.1-6) (\*)

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N° 4. Número de iniciativas que promueven la implementación de incentivos económicos incrementado.

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N° 5. Número de hectáreas bajo iniciativas de incentivos económicos incrementado.

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N° 6. Porcentaje de personas de grupos meta de ICAA con comprensión apropiada sobre principales problemas ambientales y sus soluciones incrementado.

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N° 7. Número de productos relacionados con Amazonia Andina generados por los socios de ICAA incrementado (\*)

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N° 8. Número de copias difundidas de productos relacionados con Amazonia Andina generados por los socios de ICAA incrementado.

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POL-1: Número de políticas, leyes, acuerdos o reglamentos que promueven el manejo de recursos naturales y/o conservación de la biodiversidad oficialmente propuestos, adoptados o

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## INDICADORES

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implementados incrementado (\*).

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POL-2: Número de actividades de dialogo con grupos de interés, centradas en políticas, leyes, acuerdos o reglamentos para promover el uso más sostenible de los recursos amazónicos incrementado (\*).

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POL-3: Número de personas que asisten a actividades de dialogo con grupos de interés, centradas en políticas, leyes, acuerdos o reglamentos para promover el uso más sostenible de los recursos amazónicos incrementado (\*).

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CAP-1. Porcentaje de personas capacitadas que incrementan sus conocimientos en manejo de recursos naturales y/o conservación de la biodiversidad aumentado (\*).

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CAP-2. Número de personas hora de capacitación en manejo de recursos naturales y/o conservación de la biodiversidad como resultado de la asistencia del Gobierno de los Estados Unidos (indicador estándar 4.8.1-29)(\*).

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CAP-3. Número de personas capacitadas en manejo de recursos naturales y/o conservación de la biodiversidad como resultado de la asistencia del Gobierno de los Estados Unidos incrementado (indicador estándar 4.8.1-27 (\*).

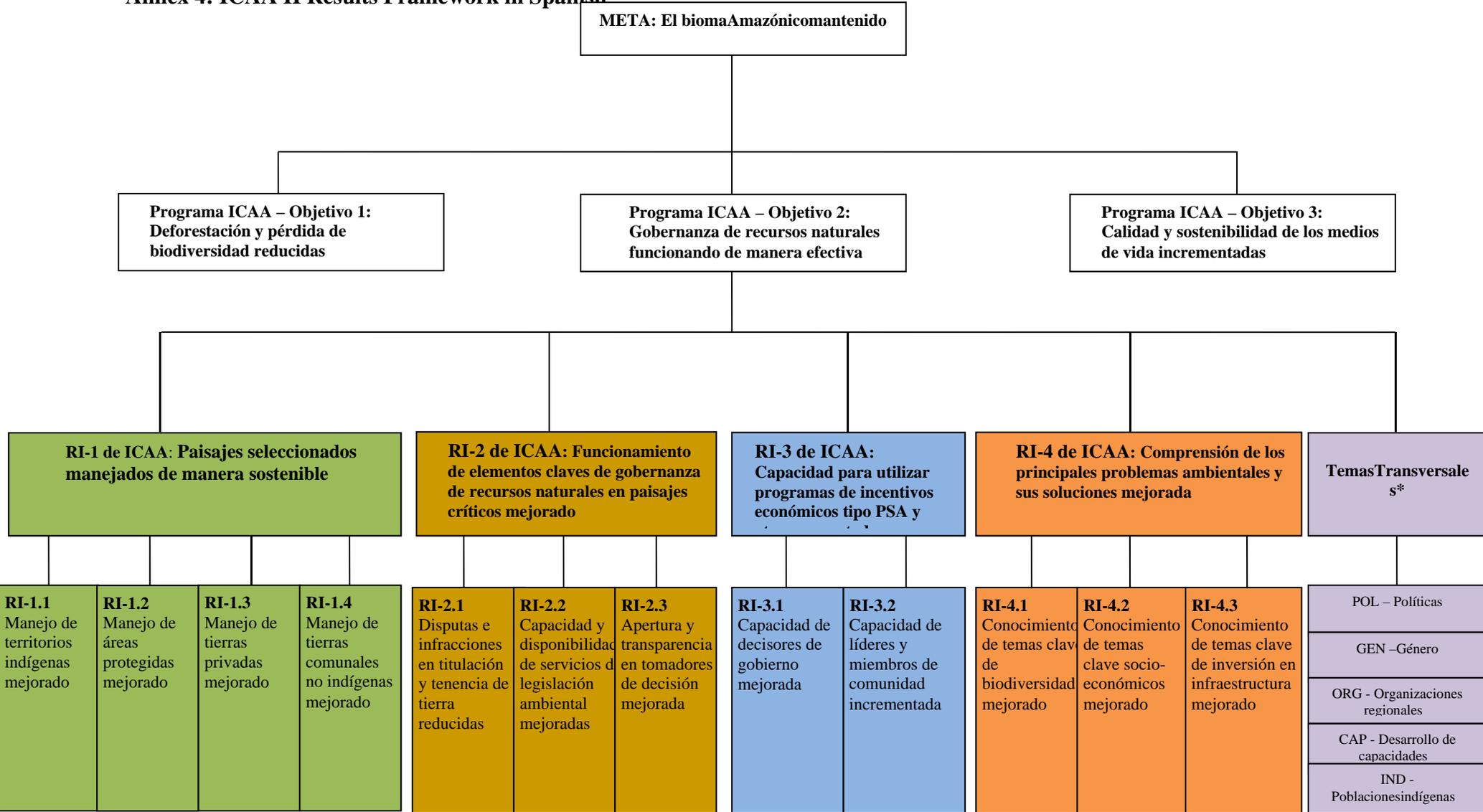
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CAP-4: Número de organizaciones, instituciones y/o redes con capacidades clave incrementado (\*).

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# Marco de Resultados para ICAA II

## Annex 4: ICAA II Results Framework in Spanish



\*Esta es una redacción abreviada de los Temas Transversales. RI = Resultado Intermediario (Intermediate Result)

