



Issuance Date: June 9, 2011
Closing Date: July 18, 2011
Closing Time: 09:00 (Brasilia time)

Subject: Request for Applications (RFA-512-11-000003)
Biodiversity Conservation of Public Lands in the Brazilian Amazon

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

The Recipient will be responsible for supporting improved biodiversity conservation and management of public lands in Brazil's western Amazon—including lands in Brazil's National System of Conservation Units (SNUC), such as parks and reserves, and indigenous lands—and strengthening incentives to promote their economic use when it is foreseen by their management plan and/or by applicable legislation. Please refer to Section I, the Funding Opportunity Description, for a complete statement of goals and expected results.

It is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards may be charged. These applicable cost standards are 2 Code of Federal Regulations (CFR) 230 (OMB Circular A-122 for non-profit organizations), 2 CFR 215 and 220 (OMB Circular A-21 for universities), and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the agreement when awarded.

Subject to the availability of funds, USAID intends to award one Cooperative Agreement (CA) for an amount up to approximately \$6,000,000 in total USAID funding to be allocated over a two-year period. USAID reserves the right to fund or not to fund the application submitted.

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

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

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

This RFA is being issued and consists of this cover letter and the following:

1. Section I – Funding Opportunity Description;
2. Section II – Award Information;
3. Section III - Eligibility Information;
4. Section IV – Application and Submission Information;
5. Section V – Application Review Information;
6. Section VI – Award and Administration Information;
7. Section VII – Agency Contacts; and
8. Section VIII – Other information.

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

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA will be issued. We expect to receive your questions related to this RFA no later than **Monday, June 20, 2011**. Answers will be published on Grants.gov in approximately three (3) business days.

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

Applicant is requested to submit both technical and cost portions of its application in separate files as an attachment to electronic mail by the closing date and time indicated at the top of this cover letter. The Technical and Cost applications should be sent electronically by e-mail to Ms. Cynthia L. Shartzter, Agreement Officer, at cshartzter@usaid.gov and to Ms. Ana Paula Mendes, Assistance Specialist, at amendes@usaid.gov by the closing date indicated above. The timeliness of an applicant's RFA submission will be confirmed by delivery date and time on the transmittal email.

If the application is submitted electronically by the July 18, 2011 closing date/time, then the hard copies may be sent within 2 working days after the **July 18, 2011** closing date to the following addresses, original documents to the Regional Agreement Officer in Peru and copies to the Assistance Specialist in Brazil. Please use regular postal service for sending these documents and ensure that no payment is required upon delivery. All postal costs are the applicant's responsibility. USAID will return to sender any submission that requires payment upon delivery or for any additional fees and/or charges. Hand delivery of application hard copies will be acceptable within Mission's working hours – Monday through Friday – 08:00 through 17:00 – to Agency Contacts stated in Section VII.

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

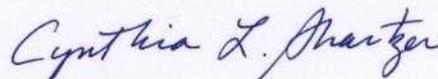
Receipt of this RFA must be confirmed by written notification (e-mail) to the Regional Agreement Officer and to the Assistance Specialist identified above. It is the responsibility of the recipient of this RFA document to ensure that it has been received in its entirety.

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

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

Thank you for your consideration of this USAID initiative.

Sincerely,



Cynthia L. Shartzter
Regional Agreement Officer
USAID/Peru

LIST OF ACRONYMS

AO	Agreement Officer
AOTR	Agreement Officer's Technical Representative
CA	Cooperative Agreement
CBD	Convention on Biological Diversity
DQA	Data Quality Assessment
EMMP	Environmental Mitigation and Monitoring Plan
EMR	Environmental Mitigation Report
FUNAI	National Indian Foundation
GOB	Government of Brazil
IBAMA	Brazilian Institute for Environment and Renewable Natural Resources
ICMBIO	Chico Mendes Institute for Biodiversity Conservation
IL	Indigenous Land
INPE	Brazil's National Space Research Institute
IR	Intermediate Result
M&E	Monitoring and Evaluation
M&M	Mitigation and monitoring
MMA	Brazilian Ministry of the Environment
MOU	Memorandum of Understanding
NGO	Non-Governmental Organization
NRM	Natural Resource Management
PLAR	Policies, Laws, Agreements and Regulations
PMP	Performance Management Plan
PNGATI	National Policy on Territorial and Environmental Management of Indigenous Lands
PPA	Pluriannual Operational Plan
RFA	Request for Applications
SFB	Brazilian Forest Service
SNUC	Brazil's National System of Conservation Units
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USFS	United States Forest Service
USG	United States Government

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

I. PURPOSE

The United States Agency for International Development (USAID) Mission to Brazil intends to award one Cooperative Agreement (CA) for an amount up to approximately \$6 million over two years, financed under the United States Congressional funding earmark for “Biodiversity Conservation in the Amazon.” This CA will support improved biodiversity conservation and management of public lands in Brazil’s western Amazon—including lands in Brazil’s National System of Conservation Units (SNUC), such as parks and reserves, and indigenous lands—and strengthening incentives to promote their economic use when it is foreseen by their management plan and/or by applicable legislation.

II. BACKGROUND

A. AMAZON CONSERVATION: CONTEXT, CHALLENGES, AND OPPORTUNITIES

Governments and civil society organizations in the Amazon face the challenge of meeting short- and long-term needs by balancing environmental conservation and economic well-being.

Approximately 16 percent of the Brazilian Amazon has been deforested, and some areas have lost more than half of their original forest cover. Major threats to survival of biodiversity include deforestation and habitat loss brought about by expansion of economic activities, illegal logging, agriculture and ranching, fire, petroleum and minerals extraction, overfishing, poorly planned infrastructure, and invasive species. These threats also lead to increased pressure on the natural resources and environmental services upon which millions of Amazonians depend. Precarious frontier governance and limited control over public lands also multiply these threats and undermine sustainable economic development efforts.

Recent modeling shows that a combination of rising temperatures, frequent droughts, and fires caused by global warming will exacerbate these trends and could lead to a “tipping point,” where tropical rainforest ecosystems collapse and are replaced over large areas by a mixture of savannah and semi-arid ecosystems. The implications of this massive ecosystem shift for biodiversity, global climate, and human livelihoods would be profound¹.

Despite these challenges, the Brazilian Amazon offers promising opportunities for improving sustainable economic development and conservation of the natural assets upon which this development depends. Across the region, public and political awareness about the importance of conservation is increasing. The past decade has seen a surge in

¹ Lovejoy, T.; Hannah, L. 2005. (eds). *Climate Change and Biodiversity* (New Haven, CT: Yale UP).

scientific, social development, management, and general institutional capacity of civil society organizations and government, including local governments. Local constituencies, including indigenous organizations, small farmer federations, and private landholders have benefited from programs to strengthen their technical, political, and organizational skills. Many indigenous communities and organizations are committed to improving management and monitoring of their territories and reserves. The political will to manage and conserve the region's immense natural wealth for the long-term is growing throughout Brazil, as a result of heightened awareness regarding the possible role emissions from deforestation and forest degradation may have on climate change.

Forest impoverishment and emissions from deforestation can be averted by conserving large landscapes that maintain forest cover and hydrologic functions. Indeed, Amazon conservation initiatives are increasingly focusing on large-scale landscapes to maintain ecosystem diversity and essential ecological services such as climate regulation. Currently, approximately 40% of the Brazilian Amazon biome is under some form of protection, i.e., 21% in indigenous territories, 12% in sustainable use reserves, and 11% under strict protection in reserves that allow only indirect use. However, recent studies indicate that at least 60% of the biome will need to be conserved in one of these three categories in order to conserve the full representation of biodiversity in the Brazilian Amazon and, given current trends in forest fragmentation², perhaps an even greater amount will need to be under some form of forest cover in order to maintain the Amazon's hydro-climatological function.

B. PUBLIC PROTECTED LANDS AND AMAZON BIODIVERSITY

Brazil is a pioneer in the establishment of innovative protected area models, such as extractive reserves and sustainable development reserves, i.e., areas set aside for official protection, fully integrated with involvement of local populations. Brazil set aside 523,592 square kilometers of protected areas between 2003 and 2009. The vast majority of new protected areas in Brazil were established in the Amazon. Perhaps in part as a result of this effort, deforestation in the Brazilian Amazon has fallen by more than half since peaking in 2004. Forest conservation, through well developed and implemented management plans on public lands, is both necessary and achievable as a complement to the establishment of officially-designated protected areas.

Brazil's legislation on Public Forests³ in 2006 established that Brazil's vast formerly unclaimed public lands should be both claimed by the government itself and managed through concession bidding for the public good. Since then, managing public forest lands for multiple and sustainable use represents both a huge opportunity and a major challenge for Brazil.

² Wuethrich, B. 2000. Conservation Biology: combined insults spell trouble for rainforests. *Science* 2000 (Jul 7) 289(5476):35-37.

³ This law is known as "Management of Public Forests Law", Law Number 11,284 of March 02, 2006, which establishes the Brazilian Forest Service and other forest management tools.

There is growing evidence that human presence in protected areas near, or on, the advancing agricultural frontier is a powerful deterrent to deforestation, illegal logging, poaching of wildlife and large scale habitat conversion in the Brazilian Amazon. Public parks, reserves, and indigenous lands have often been created in response to frontier expansion, and many prevent deforestation within their perimeter despite high rates of deforestation along their boundaries. The inhibitory effect of well managed public lands⁴ on deforestation is strong. Indeed, public lands are currently the most important barrier to Amazon deforestation, and the greatest challenge in years to come will be successful implementation of management plans in high-risk areas of frontier expansion⁵.

C. INDIGENOUS STEWARDSHIP OF AMAZON BIODIVERSITY

Biodiversity conservation continues to require improved integration with human welfare concerns, especially in forest areas where human presence is pervasive. It can be argued that small, locally focused organizations working at the frontlines of high biodiversity areas are some of the most effective ones in leading effective implementation of management and conservation systems and policies, thus delivering higher impact results. A corollary to this is that forest biodiversity will only be effectively conserved in the long run if local peoples and civil societies see a concrete value in saving it— be it monetary, ethical, cultural, or utilitarian. Strengthening a diverse range of local institutions is a fundamental element of effective conservation.

Therefore, indigenous organizations, like other stakeholders, need improved skills in participatory conservation, and natural resources management, marketing sustainably produced forest products, and developing their livelihoods. A key premise of effective stewardship of indigenous lands includes: knowledgeable, active, and articulate indigenous organizations with the technical capacity, political legitimacy, and articulation to participate and contribute to the debate on public policies and decisions affecting their lands and surroundings, including investment decisions.

The Brazilian Constitution fully recognizes the plural nature of the country's societal ethnic make-up, affording indigenous peoples recognition of their social organization, traditions, languages, creeds, habits, and ancestral territories (Article 231). The federal government, through its National Indian Foundation (FUNAI), attached to the Ministry of Justice, is responsible for ensuring the protection and promotion of indigenous rights, including the demarcation and homologation of indigenous lands. In the Brazilian Amazon there are also several state-level public administration bodies (secretariats, departments or foundations) tasked with formulating and implementing specific policies focused on indigenous peoples and their lands.

⁴ In this document, the term "public lands" refers to land areas included in Brazil's National System of Conservation Units – SNUC (protected areas such as parks and reserves), as well as indigenous lands.

⁵ Nepstad, D; Schwartzman, S; Bamberger, B; Santilli, M; Ray, D; Schlesinger, P; Lefebvre, P; Alencar, A; Prinz, E; Fiske, G; Rolla, A. 2006. "Inhibition of Amazon deforestation and fire by parks and indigenous lands." *Conservation Biology* 20(1):65-73.

As with any other federal agency, FUNAI is mandated by the Brazilian Constitution to establish an operational framework to guide the implementation of its budgetary allocation to deliver its mission. This framework is translated into a four-year 'Pluriannual Operational Plan' (PPA). The current pluriannual plan has been approved for the period 2008-2011. The PPA incorporates the strategic, sectorial, and operational objectives and activities of the agency. It is divided into a series of 'Actions,' of which the most notable in terms of their particular relevance for the current Project are: i) Action 6698 – Environmental and Territorial Management of Indigenous Lands; ii) Action 2711 – Promotion of Ethno-development in Indigenous Lands; and iii) Action 8635 – Promotion of the Cultural Patrimony of Indigenous Peoples.

The overall legal framework for FUNAI's operations is guided by Federal Decree No 1141 of 05/19/1994, which provides an institutional and regulatory umbrella for the implementation of environmental protection and healthcare activities, as well as promotion of sustainable economic alternatives in indigenous lands. It sets out the need for articulated and coordinated activities between governmental, non-governmental, and indigenous organizations as a means to ensure effective support to indigenous peoples and their lands.

Of particular importance to the Program, Decree 1141 encourages the formulation and implementation of environmental assessments, socio-environmental diagnostics, ethnomapping, restoration of degraded areas, monitoring and surveillance, training and capacity building, and application of indigenous and non-indigenous technologies for environmental protection. The Decree also places a special emphasis on support and technical assistance for the development of economic alternatives and strengthening of community associations, as a means to ensure the physical and cultural survival of indigenous peoples.

Indigenous lands do not belong to individual indigenous groups, but rather are under federal or state jurisdiction. The decree that will officially create the National Policy on Territorial and Environmental Management of Indigenous Lands⁶ (PNGATI) is expected to be signed in 2011. The effective implementation of the policy—drafted by the Brazilian Government during the last two years with the participation of several indigenous groups and other stakeholders, including USAID partner organizations—will enhance opportunities for indigenous groups to manage their own lands. Capacity-building of indigenous groups and indigenous leaders to accomplish protection and sustainable management of local biodiversity is more important than ever.

III. DEVELOPMENT CHALLENGE

Establishment of protected areas continues to be necessary, but not sufficient, to conserve biological diversity and achieve climate stability in Brazil's humid tropical forest zones. In addition to those protected areas designated under the Brazil's National System of

⁶ See website for more information <http://sites.google.com/site/pngati/>

Protected Areas (SNUC), there is a special need to devote attention to areas designated for protection as indigenous lands. Brazil has set aside over 21 percent of the Brazilian Amazon in fully demarcated indigenous reserves. Federal and state level protection of indigenous lands involves protection of the perimeters of reserves, and requires attention to the welfare and needs of diverse indigenous populations. Brazilian legislation will allow some local management of natural resources on indigenous lands through the soon to be established National Policy on Territorial and Environmental Management of Indigenous Lands (PNGATI). Local populations are increasing engagement in management decisions and are the first line of defense against encroachment by non-indigenous settlers and land grabbers. Capacity-building and support for local efforts to manage forest resources in the ethno-environmental corridors of the Brazilian Amazon can help to sustain these landscapes in the long term.

After successful efforts led by the relevant Brazilian government agencies, that at the end of 2010 reduced deforestation to its lowest levels since monitoring systems were implemented more than twenty years ago, official data provided in the first half of May 2011 by Brazil's National Space Research Institute (INPE) show a 27 percent increase in deforestation from August 2010 to April 2011. The biggest rise (43 percent) was in the state of Mato Grosso which produces more than a quarter of Brazil's soybean harvest. In order to reverse this trend, and to avoid it happening in other states of the Brazilian Amazon, it is important to address the causes of deforestation and reduce threats to biodiversity conservation associated with unsustainable practices related to natural resources management, land-use, and land-use change.

There is a general awareness of the need to support effective management of public lands and the creation and consolidation of indigenous lands. However, only a relatively small proportion of national and international funding sources directly support traditional and indigenous peoples' efforts to protect and manage their lands or to implement sustainable economic alternatives to maintain their traditional livelihoods. More financial resources and new approaches are therefore urgently needed to cultivate the very significant potential offered by well managed public lands and to enhance the role of traditional and indigenous populations that inhabit these lands to serve as effective stewards of some of the largest tracts of intact rainforest left in the Amazon. In order to counter deforestation pressure, there is a need to mainstream promising opportunities as well as to replicate or scale up proven approaches and role models developed within the Amazon region or elsewhere.

Recognizing that conservation results can be achieved only through transformational changes in the social, economic, institutional, and political conditions that underlie conservation, the application must reflect an interest in partnering with USAID for this Project and it must demonstrate the Applicant's ability to both implement pre-agreed activities and to be responsive to emerging issues, opportunities, and threats from the field, fully respecting Brazil's unique social and cultural traditions, management plans, and sovereignty.

IV. PROGRAM DESCRIPTION

A. GOALS AND OBJECTIVES

The overall goal of the project to be funded under this RFA is to improve biodiversity conservation and management of public lands in Brazil's western Amazon—including lands in Brazil's National System of Conservation Units (SNUC), such as parks and reserves, and indigenous lands—strengthening incentives to promote their economic use when it is foreseen by their management plan and/or by applicable legislation. This Project specifically aims to support local governments and civil society organizations of the western Brazilian Amazon in their efforts to conserve and sustainably use its unique and globally important resources, in accordance with Brazil's national and sub-national (state and municipal) policies and legislation, as well as with relevant multilateral agreements endorsed by Brazil, such as the United Nations Convention on Biological Diversity (CBD).

The main objective of this Project is to strengthen conservation and management of biologically significant⁷ target areas, representing diverse terrestrial and freshwater ecosystems within the above-defined public lands and their buffer zones in the western Brazilian Amazon biome, to ensure the survival of flora and fauna species, the safeguarding of traditional and indigenous livelihoods, as well as the continued provision of environmental goods and services. Strengthening the conservation of these target areas, particularly those within geographic regions which are actively exposed to the expansion of economic activities, represents a unique opportunity for USAID/Brazil to support conservation initiatives that are closely linked to securing sustainable livelihoods and the broader macro-economic, political, and social changes that can determine the impact of sustainable development in the Amazon for the years to come⁸. By investing in conservation of the forest cover on public lands, the Project will also help maintain regional rainfall patterns and build resilience to climate change, thus ensuring that Brazilian Amazon basin ecosystems continue to contribute to climate regulation, regionally and globally.

With the aim of supporting efforts in conserving the Brazilian Amazon's globally important ecosystems and natural resources, USAID/Brazil seeks to work in partnership with a variety of relevant stakeholders, which are currently, or may be potentially, involved with the conservation and management of the target areas, including: national and sub-national government agencies and institutions at the regional, state and municipal level; traditional and indigenous communities and their representative groups; non-governmental organizations (NGOs), including charities as defined by United States Government (USG) criteria; and public and private organizations. USAID's contribution will support capacity-building for sustainable livelihoods, improving natural resource

⁷ As defined by USAID's "Biodiversity Code" found online: http://inside.usaid.gov/EGAT/offices/natural_res/water/mechanisms/upload/Biodiversity_Earmark-2.pdf- "An area of biological significance is an area which has been deemed a biodiversity priority at the international, regional, national or local level. Documentation should be provided regarding the biological significance of the target area."

⁸ Schneider, R. and Diewald, C. 2008. 'Update Assessment and Country Analysis on Section 118/119 of the Foreign Assistance Act Tropical Forestry and Biodiversity Conservation in Brazil.' United States Agency for International Development.

governance and nascent conservation programs, and policies in coordination with the local, regional, and national priorities.

It is USAID's explicit intention to align the activities to be supported under this Project with the Government of Brazil's priorities, as emphasized above. Therefore, USAID encourages close collaboration between the Recipient and other implementing partners, as well as with all relevant stakeholders. In particular, USAID strongly encourages establishing close collaboration and cooperation with FUNAI and other federal and state-level government agencies and institutions involved with conservation and management of public lands in target areas, including those working with protected areas (conservation units included in Brazil's SNUC) and indigenous peoples and lands, to maximize use of resources, promote knowledge exchange and learning opportunities among government, non-government and indigenous organizations. Applicants are therefore strongly encouraged to take into account the policy instruments, mentioned in Section II, when formulating an application to USAID in response to this request. The successful applicant will be expected to develop a working relationship with FUNAI, to obtain from this institution the necessary authorizations and/or permits, prior to commencing work inside indigenous lands, regardless of, or in addition to, permission or participation by the indigenous peoples, groups, or their associations.

B. COMPLIANCE WITH USG CONGRESSIONAL EARMARK FOR BIODIVERSITY CONSERVATION IN THE BRAZILIAN AMAZON

This Project must comply with the following four criteria related with the USG congressional earmark for biodiversity conservation:

1. **The project must have an explicit biodiversity objective.** It is not enough to have biodiversity conservation result as a positive externality from another program. For example, if there happen to be positive benefits to biodiversity from a program but the program does not have an explicit objective to conserve biodiversity, the code criteria are not met.
2. **Activities must be identified based on an analysis of threats to biodiversity.** For example, a threats analysis may identify illegal and unsustainable logging as an important threat to a local forest ecosystem, or artisanal gold mining as an important threat to critical freshwater habitat and endangered aquatic species. Program interventions should then be designed to address the identified threats to these biologically significant ecosystems/areas.

For the purposes of this RFA and subsequent applications, the "USAID/Brazil's FAA 118/119 Report on Biodiversity and Tropical Forestry," more commonly known as its "118/119" report, may be used for the required threats analysis.

This report, published in 2008 and valid for the period 2007-2011, can be found online at:

http://www.usaid.gov/locations/latin_america_caribbean/environment/docs/section_118/Brazil_118_2007_final.pdf.

An update to this report, “Mid-Term Update of Country Analysis of Tropical Forests and Biodiversity Conservation,” was issued by USAID/Brazil in September 2009 and is available in Annex 1.

3. **The project must monitor associated indicators for biodiversity conservation.**
These could be anything from activity-level impact indicators to proxy indicators measuring threat reduction to the standard indicators under the biodiversity/natural resource management (NRM) element.
4. **Site-based programs/projects must have the intent to positively affect biodiversity in biologically significant areas.** The intervention must be designed to address threats and have a positive impact on areas of high biodiversity or biological significance. The activity itself does not have to be implemented in an area of high biodiversity if it has the intent to affect areas of biological significance—biodiversity policy programs for instance, or activities in degraded park buffer zones that intend to take pressure off of park ecosystems. An area of biological significance is an area that has been deemed a biodiversity priority at the international, regional, national, or local level. Documentation should be provided regarding the biological significance of the target area. It is not enough to say that anywhere in a country is biologically significant because there are areas of every country that are of higher biodiversity value.

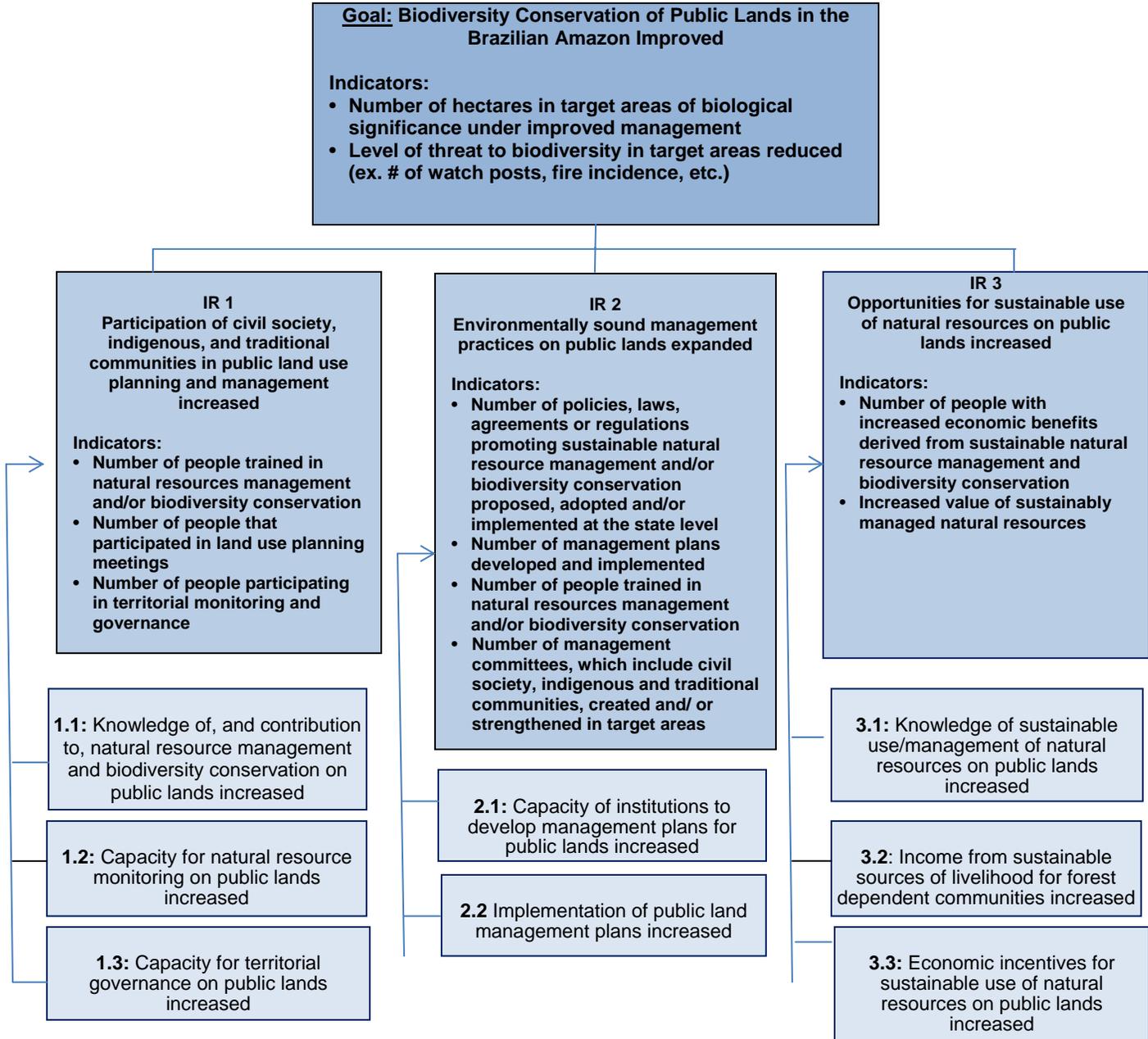
For further information on the USAID biodiversity funding earmark criteria, please refer to:

http://inside.usaid.gov/EGAT/offices/natural_res/water/mechanisms/upload/Biodiversity_Earmark-2.pdf

C. EXPECTED RESULTS

The overall goal of this Project is to “Improve Biodiversity Conservation of Public Lands in the Brazilian Amazon.” In order to accomplish this, three Intermediate Results (IR) must be achieved, as illustrated by Figure 1 below, which provides the results framework for the USAID/Brazil Biodiversity Conservation Program Component.

Figure 1. Results Framework for USAID/Brazil’s Biodiversity Conservation Program Component⁹



⁹ Only the required indicators are shown in this framework. More illustrative indicators and more thorough explanations of Intermediate Results are described below.

Project Goal: Biodiversity Conservation of Public Lands in the Brazilian Amazon Improved

The Project seeks to build a future in which the management and sustainable economic use of public lands in the Amazon—including those lands demarcated as indigenous lands and traditional community lands—is improved and strengthened in such a way as to help ensure the conservation of Amazonian biodiversity resources in perpetuity.

The underlying assumption of the Project vision is that by strengthening management systems and promoting incentives for sustainable economic use of natural resources on public lands, both conservation of biodiversity and forest protection are achieved.

Expected Results:

- Threats to biodiversity conservation identified and mitigated in target areas
- Capacity of civil, traditional, and indigenous people’s organizations and institutions strengthened in order to mitigate the socio-environmental problems associated with the advance of the deforestation frontier
- Capacity of public institutions to manage public lands strengthened
- Improved protection and management of public lands, through land management plans that have been developed with the participation of civil society, and indigenous and traditional communities
- Improved monitoring and governance of public lands
- Increased opportunities for traditional and indigenous peoples to generate social and economic benefits from sustainable natural resources management and biodiversity conservation

Required (underlined) and Illustrative Indicator(s)¹⁰:

- Number of hectares in areas of biological significance under improved management as a results of USG assistance
- Level of threat to biodiversity in the target areas reduced, e.g., number of watch posts, fire incidence, etc.
- Amount of funds leveraged

Applicants are expected to submit applications in line with the results framework illustrated in Figure 1, addressing all three Intermediate Results (IR) described below.

¹⁰ Illustrative indicators serve as examples and applicants are not limited to these. Applicants are encouraged to propose their own relevant indicators but must include the required indicators.

IR 1: Participation of civil society, indigenous, and traditional communities in land-use planning and management increased

In order to conserve Amazon biodiversity, as a complement to government efforts, USAID will support capacity-building of local populations to manage forest resources in a sustainable manner, for their own economic benefit. Through approaches that focus on increasing the level of engagement on land-use planning, civil societies, traditional and indigenous communities could be actively involved in preventing and mitigating environmental threats to the target public lands.

Frequently, local populations are vulnerable to turmoil with the uncontrolled advance of economic frontiers. These excluded groups demand and deserve a voice in regional development plans. To the extent that the needs and economic well-being of local populations are included in development decisions, biodiversity conservation is more likely to be achieved.

USAID will support the strengthening of local organizations and the empowerment of community leaders to meaningfully participate in public land use planning and decision-making processes at the local, regional and national levels.

It is anticipated that the Project will directly support applied management approaches, practices, and techniques designed to improve biodiversity conservation.

Required (underlined) and Illustrative Indicator(s):

- Number of people receiving USG supported training in natural resources management and/or biodiversity conservation
- Number of people participating in land use planning meetings
- Number of people participating in territorial monitoring and governance
- Number of people trained in conservation planning and environmental management
- Number of people trained on public advocacy, communications, and knowledge management tools that foster effective engagement with government, civil society, and the private sector in public policy debates/negotiations
- Number of people trained on natural resource monitoring, mapping, and surveillance
- Number of community groups responsible for ecosystem management
- Number of people trained on institutional efficiency, governance, accountability and transparency

Three sub-intermediate goals support the achievement of Intermediate Result 1:

Sub IR 1.1: Knowledge of, and contribution to, natural resource management and biodiversity conservation on public lands increased

In heeding the need to ensure local stewardship of biodiversity assets and conservation efforts rooted in strong governance, USAID/Brazil is placing special emphasis on building the capacities of indigenous communities and organizations so that they can protect their cultures and manage their lands and ecosystems within areas under their control. Capacity building should focus on identified needs and gaps such as land protection and management skills, economic analysis, communication, alliance building, and institutional development issues, including performance monitoring. The Project will thus need to focus on a variety of topics that are expected to lead to subsequent improved management of larger areas, e.g., buffer zones, including those considered to be biologically significant. Hence, another central premise is that increased capacity and connectivity will enable formerly isolated organizations to more effectively address large-scale conservation threats and opportunities.

Sub IR 1.2: Capacity for natural resource monitoring on public lands increased

Traditional and indigenous populations in the Brazilian Amazon have acquired innate, intimate knowledge of their surroundings. Combined with scientific knowledge, traditional and indigenous knowledge ensure efficient management of community-held natural resources. Technologies such as satellite mapping are now accessible to local groups and can help them plan and manage sustainable landscapes. It is anticipated that the Project will directly support applied management approaches, practices and techniques designed to improve territorial protection of public lands, including indigenous lands.

Sub IR 1.3: Capacity for territorial governance on public lands increased

USAID assumes that preventing and mitigating environmental threats to traditional and indigenous territories and livelihoods is best accomplished through approaches that focus on increasing the level of engagement on, and effectiveness of, social governance processes. By supporting the capacity of local groups, local environmental governance can be reinforced as a pre-condition for stable forest-based economic development.

IR 2: Environmentally sound management practices on public lands expanded

Officially designated protected areas in Brazil's humid forest biomes are significant storehouses of biological diversity and contribute in a major way to climate stabilization. However, designation and demarcation are not enough to achieve effective protection of these areas. Management plans must be developed, on-site guard protection must be established, and resources must be secured in order to help ensure enduring protection of these areas. Therefore, USAID/Brazil intends to continue fostering partnerships with Brazilian government institutions at the federal, state and municipal levels to help establish effective management of officially designated protected areas. For this purpose, USAID anticipates that the Recipient will coordinate with U.S. and Brazilian government

entities that are members of the Protected Areas Working Group, established as part of the U.S.-Brazil Common Agenda for the Environment.

Required (underlined) and Illustrative Indicator(s):

- Number of policies, laws, agreements, or regulations promoting sustainable natural resource management and/or biodiversity conservation proposed, adopted and/or implemented at the state level as a result of USG assistance
- Number of management plans developed and implemented
- Number of people receiving USG supported training in natural resources management and/or biodiversity conservation
- Number of management committees, which include civil society, indigenous and traditional communities, created and/or strengthened in target areas
- Number of threats on public lands assessed and mitigated
- Number of people trained in fire management and prevention
- Number of degraded areas restored

Two sub-intermediate goals support the achievement of Intermediate Result 2:

Sub IR 2.1: Capacity of institutions to develop management plans for public lands increased

USAID's focus has been and will continue to be on capacity-building of institutions and individuals living on Brazil's economic frontiers – those areas still undergoing pressure to convert native forests and grasslands for economic use. It is in Brazil's best interest, and that of the global community, to combine the capacity of local individuals and institutions with sound policy and management practice, in order to strengthen management and biodiversity conservation on public lands. To achieve this, USAID/Brazil will contribute to the development of land management plans on public lands.

Sub IR 2.2: Implementation of public land management plans increased

In order to strengthen biodiversity conservation, strategic action in the Amazon requires not only development of management plans for public lands, but effective implementation of the plans, and improving the capacity and incentives to effectively implement existing laws. Effective protection of existing protected areas (indigenous and biological) would help protect at least 40% of the Amazon.

IR 3: Opportunities for sustainable use of natural resources on public lands increased

The provision of economic incentives for sustainable use of natural resources is perhaps the best means to counter unsustainable practices and generalized resource depletion, often times encouraged by illegal loggers, hunters, poachers, and trespassers in general.

Required (underlined) and Illustrative Indicator(s):

- Number of people with increased economic benefits derived from sustainable natural resource management and biodiversity conservation as a result of USG assistance
- Increased value of sustainably managed natural resources
- Number of inclusive workshops on Brazilian legislation relevant to biodiversity conservation
- Number of people trained on processes that permit the elaboration and implementation of sustainable production products
- Number of business plans developed for sustainable community-based enterprises producing forest-based products
- Value of payment for ecosystem services income
- Number of viable commercial opportunities for forest-based products identified
- Number of potential initiatives and feasibility studies that link conservation with sustainable income generation on indigenous lands, i.e., payment for environmental services, non-timber forest products, sustainable ecotourism, etc. identified
- Number of market development studies for sustainably produced forest products, e.g., analysis of production/economic potential, market trends, etc.

Three sub-intermediate goals support the achievement of Intermediate Result 3:

Sub IR 3.1: Knowledge of sustainable use/management of natural resources on public lands increased

It is no accident that high biodiversity areas in the Brazilian Amazon coincide with areas inhabited by traditional populations. These populations possess considerable traditional knowledge of the biodiversity around them and have learned to exploit the rich biological diversity surrounding them without diminishing this biodiversity. Brazil is fortunate to have set aside many of these areas in the Brazilian Amazon as indigenous reserves, extractive reserves, and sustainable development reserves. As traditional populations and outside pressures increase, this traditional knowledge can benefit from modern scientific

understanding of opportunities to continue using this biodiversity without depleting it, including use of mapping technologies to grasp the extent and health of this biodiversity.

Sub IR 3.2: Income from sustainable sources of livelihood for forest dependent communities increased

Subsistence livelihoods of traditional forest-dwelling groups are often understood to exert limited pressure on local biodiversity. However, as populations increase and demands on natural resources expand, science-based management of these resources becomes necessary. Also, sustainable management of local resources offers income generating opportunities as isolated groups come in contact with Brazilian society at large and subsistence societies evolve into trading societies. As a result, science-based management of biodiversity resources can help traditional societies further protect biodiversity by holding the line against poaching and mismanagement by outsiders.

Sub IR 3.3: Economic incentives for sustainable use of natural resources on public lands increased

Governments and markets send signals that affect the way societies and forest-dwellers view biodiversity. In the past, when roads were built in the Amazon, its construction often sent inaccurate signals that land was free for the taking. Despite the risks caused by road construction, farm-to-market roads are absolutely necessary for landlocked settlers. Too often these signals lead to overuse or irreversible devastation of biodiversity. But positive economic incentives, developed with full and open consent of traditional populations and society at large, can help limit destructive harvesting while creating economic conditions and the political will to use biodiversity resources in a sustainable manner.

Performance Monitoring Indicators

In keeping with USAID managing-for-results approach, indicators or “benchmarks” that serve as proxies of measurable outcomes should be used to monitor progress towards meeting targets. The USAID/ Brazil Environment Program is already working towards delivering results on a set of USAID/Brazil required standard performance indicators (see Annex 2). These are:

- **Number of hectares in areas of biological significance under improved management as a results of USG assistance**
- **Number of people receiving USG supported training in natural resources management and/or biodiversity conservation**
- **Number of people with increased economic benefits derived from sustainable natural resources management and biodiversity conservation as a result of USG assistance**

- Number of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that are implemented as a result of USG assistance – NOTE: taking into account the two-year timeline and the expected results for the Project, this USAID Foreign Assistance Framework Standard Indicator will be customized according to the following definition (as listed under IR2): “**Number of policies, laws, agreements or regulations promoting sustainable natural resource management and/or biodiversity conservation proposed, adopted and/or implemented at the state level as a result of USG assistance.**”

In addition, a recommended indicator is:

- Amount of leveraged funds and resources

D. GEOGRAPHIC AREAS OF FOCUS

The Project to be funded by USAID will be developed in biologically significant areas of the western Brazilian Amazon, which, for the purposes of this Project, is defined as the geographic region which encompasses the states of Acre, Amazonas, and Rondônia, as well as the north-western portion of the state of Mato Grosso.

The selection of these geographic areas of focus was made taking into account the following considerations:

- **Ecological factors:** biological importance and landscape integrity, eco-regional representation, habitat types, focal/keystone species, and ecological process viability;
- **Donor and government coordination:** current presence of other donors/implementers and GOB priorities for biodiversity conservation in public lands;
- **Management factors:** presence of linkages between existing protected areas, conservation gaps, and general threats; and
- **USAID interests:** identified opportunities to build on and scale-up past USAID conservation and natural resources management investments, particularly those described under sub-section E below, “Relationship to other Mission projects.”

E. RELATIONSHIP TO OTHER MISSION PROJECTS

USAID/Brazil has been supporting conservation and sustainable development in the Brazilian Amazon for over 20 years. Realizing that conserving the Amazon is an

extraordinarily complex challenge, the agency has been working under the premise that conservation is an inherently social process. USAID is therefore firmly committed to working closely with a variety of stakeholders including local, state and federal level governments, and non-governmental and indigenous based organizations in the Amazon region, to address threats and opportunities related to Amazonian biodiversity, to contribute to Brazil's search for sustainable development solutions in tune with local realities and the needs of local populations.

The USAID/Brazil Environment addresses global concerns for biodiversity conservation in Brazil through support of innovative ideas and partnerships, selection of experienced local and international organizations through a consortium structure, and by creating linkages that help to maximize the impacts of USAID investments and create synergies. To this end, USAID/Brazil has helped build institutional networks that empower local communities, generate and disseminate sound resource management practices, and formulate public policies to support and encourage such practices¹¹.

Operating in such large areas requires large-scale activities such as landscape-level planning and political buy-in at the national and regional levels. Several USAID supported consortia, predominantly composed of local NGOs, have been gathering key landscape-level information and sharing it with national and regional decision-makers. Providing key information in a timely and user friendly fashion can offer a powerful tool for changing predominant land-use dynamics in the region. In addition, the success of large-scale conservation efforts is often dependent upon complementary activities outside of formally protected areas. For instance, building alternative markets for sustainably produced forest products is one critically important strategy for changing predominant land-use patterns.

For the implementation of this Project, USAID/Brazil will look for an Applicant that demonstrates the willingness and capacity to work in concert with the Brazilian government, at all levels, to generate synergies intended to effectively achieve compliance with existing laws for the above-defined public lands and to promote stronger and broader support from all stakeholders involved. By combining the capacity of local institutions and individuals with sound policy and management practices, USAID/Brazil envisions an application that reflects a balanced partnership approach, reaching out to civil society, the public sector, and the private sector in order to develop, implement and support initiatives towards conservation and sustainable use of biodiversity.

As described above, by means of existing cooperative agreements with a number of partner organizations, USAID is already supporting projects that are well positioned to achieve significant impact conserving biodiversity in the Brazilian Amazon. These projects are implementing activities in priority regions of the Brazilian Amazon biome currently facing significant threats, such as those from deforestation, illegal logging and fires. Therefore, civil society strengthening in these areas is the first line of defense to

¹¹ Costanti, E. 2007. "USAID/Brazil SO8 Final Evaluation Report." U.S. Agency for International Development.

promote and ensure sustainable use of biodiversity and generate economic benefit to local and disadvantaged peoples and communities.

For further information on biodiversity conservation activities supported by USAID/Brazil Environment Program, please also refer to the official website: <http://brazil.usaid.gov/en/node/10>

F. OTHER CONSIDERATIONS

Gender and Equity

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

Regional Presence

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

Coordination with other USAID and Donor Activities

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

Partnerships and Leveraging

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

strong focus on the need to build alliances with the private sector, private sector leverage is expected to supplement core project funding for the implementation of the project.

Effective Collaboration with Sub-national Governments

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

G. AWARD ADMINISTRATION

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

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

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

APPLICABILITY OF 22 CFR PART 226 - MAY 2005

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

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

[END OF SECTION I]

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide an amount up to approximately \$6,000,000 in total USAID funding over the two-year life of the activity.

B. Number of Awards Contemplated

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

C. Start Date and Period of Performance

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

D. Type of Award

USAID/Brazil expects to award one cooperative agreement.

E. Substantial Involvement

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

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

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

F. Key Personnel

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

- Project Manager
- Deputy Project Manager
- Financial Manager

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

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

A. APPLICANTS

All eligible applicants must meet the following criteria:

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

B. COST SHARE

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

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

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

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

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. POINT OF CONTACT

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

B. REQUIRED FORMS

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

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

These forms are attached to this RFA under Annex 6.

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

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

- For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**;
- A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see **22 CFR 227**);
- A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- A signed copy of the certification regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;
- A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking”;
- Survey on Ensuring Equal Opportunity for Applicants, which can be accessed by pressing Control Key and clicking on the following link: [Equal Opportunity](http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf), which will address you to <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> and

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

- access the web page: <http://www.dnb.com>;
- click on D&B D-U-N-S Number;
- click on get a D&B D-U-N-S Number;
- click on the link at the left side of the page that states: *If you are registering to do business with the US Government or apply for a grant [click here](#);*
- click on: *click here to request a D-U-N-S Number via the Web*;
- select the country where or organization is location and click *continue*;
- Follow the instructions. Questions should be directed to Dun and Bradstreet.

Central Contractor Registration and Universal Identifier (October 2010)

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

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

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

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

c. Definitions. For purposes of this award term:

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

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

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

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

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

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

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

(5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

**h. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION
(OCTOBER 2010)**

a. Reporting of first-tier subawards.

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

(2) Where and when to report.

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

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

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

b. Reporting Total Compensation of Recipient Executives.

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

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

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

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

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

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

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

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

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

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the

names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

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

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

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

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

(i) To the recipient.

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

d. Exemptions

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

(1) subawards, and

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

e. Definitions. For purposes of this award term:

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

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

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

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

(4) Subrecipient means an entity that:

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

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

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

- (v) Above-market earnings on deferred compensation which is not tax-qualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

D. APPLICATION PREPARATION GUIDELINES

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

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

The application shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical portion of the application should be submitted in original and 2 copies and cost portions of application in original and 1 copy. The copies of the technical and cost/business applications must be separately placed in sealed envelopes clearly marked on the outside with the following words "RFA-512-11-000003 - Technical or Cost/Business (as appropriate) Application." These individual envelopes must then be bundled together to be received as one complete package.

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

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

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

E. TECHNICAL APPLICATION FORMAT

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

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

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

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

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the cover page of this application."

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

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

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

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

E.4. Implementation Plan: In five (5) pages or less, please provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.

E.5. Monitoring, Evaluating and Reporting

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

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

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

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

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

E.6. Annexes:

The Technical Application may contain up to four Annexes. The following information shall be included in annexes and will not count towards the page limit:

Resumes and Letters of Commitment

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

Institutional Capacity in 15 pages or less

Past Performance in 15 pages or less

F. COST/BUSINESS APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details.

1. The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The cost application should be for a period of up to 2 years using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result as well as overall. Applicant shall fill out Annex 5–Matrix for Budget Preparation—for this purpose.

4. The Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will interact for purposes of Agreement administration, identity of the applicant that will have accounting responsibility, how Agreement effort will be allocated, and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
5. The required Certifications listed in Part C of this Section must be included with the cost application.
6. The proposed budget should provide cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

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

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

RFB involves summarizing cost data to corresponding development results/outcomes. Cost data must be summarized in both the SF424A and RFB categories. If an input serves multiple development results and program elements, the applicant must allocate the input across the corresponding results and provide

a rationale in the budget narrative for the method used for each allocated input.

Cost application must also include all supporting input-based budgeting for both summary formats and comply with other instructions for cost applications, e.g., breakout of costs at the country versus headquarters level, if applicable, contained elsewhere in this solicitation.

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

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

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

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

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

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

Foreign Government Delegations to International Conferences - Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" (<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>) or as approved by the AOTR.

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

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

The waiver includes:

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

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

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

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

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

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

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

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

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

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

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

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

- d. **Foreign organizations and host government entities:** The recipient organization normally funds the financial audit initially, with USAID eventually paying for it. The Agreement Officer will determine if the cost of the audit is an allowable direct or indirect expense based on the applicable cost standards. USAID may perform audits of host government recipients.

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

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

G. ENVIRONMENTAL COMPLIANCE

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.3.11.2b and 204

(<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

In addition, the recipient must comply with host country environmental regulations unless otherwise requested in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded under this CA will be implemented unless an Environmental Threshold Determination (ETD), as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). The ETD for the Biodiversity Conservation Program Component (Annex 3) covers activities expected to be implemented under this CA and the relevant compliance language from the ETD is noted below.

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

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

If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

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

- a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
- b) Integrate a completed EMMP or M&M Plan into the initial work plan.
- c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

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

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

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

A **Categorical Exclusion** is issued to the USAID/Brazil Environment Program activities numbered **1 to 9** that have components of education, technical assistance, surveys, workshops, meetings and development planning [see Tables (a), (b) and (c) in the attached IEE], pursuant to 22 CFR 216.2(c)(2):

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment.”
- (ii) Controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored
- (iii) Analyses, studies, academic or research workshops and meetings;

(iv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment.

A Negative Determination with Conditions is issued to the following USAID/Brazil Environment Program activities [see Table (b) and (c) in the attached IEE], pursuant to 22 CFR 216.3(3)(iii):

- Activity 5: Indigenous Landscapes in Brazil (PIB) Paisagens Indígenas Brasileiras,
- Activity 6: Strengthening Environmental Management in the Brazilian Southwestern Amazon – Manejo de Bacias e Estradas - MABE (UF),
- Activity 7: Conservation in the Indigenous Amazon – Aldeias (WV), and
- Activity 9: Ethno-environmental Corridors in the Brazilian Amazon (IEB)

that have components of:

- a) Restoration of degraded areas inside indigenous lands – if developed;
- b) Identification of potential initiatives and feasibility studies that link conservation with sustainable income generation for communities (e.g., for payment for environmental services; non-timber forest products, sustainable ecotourism, small-scale infrastructure, etc.);
- c) Pilot economic development activities to sustain conservation activities;
- d) Implementation of development plans including field activities;
- e) Livelihood enhancement of local peoples through increased access to environmentally friendly technologies e.g. renewable energy sources; and
- f) Small-scale infrastructures – if developed.

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

- Use of the “Guidelines for Implementing Partners: **USAID/Brazil’s Environmental Mitigation Plan and Report (EMPR)**” (**Annex 4**) to conduct a preliminary environmental analysis of all sub activities.
- The Agreement Officer’s Technical Representative (AOTR) for these Activities will actively monitor, evaluate, and ensure that the conditions specified herein are met.
- As part of its Work Plan, the grantee, in collaboration with the AOTR, shall review all planned activities under this Grant to determine if they are within the scope of the approved Regulation 216 environmental documentation (Initial Environment Examination – IEE, and the correspondent Environment Threshold Decision – ETD).
- If additional activities are added that are not described in this document, an amended Initial Environmental Examination will be prepared.

- If the Grantee plans any new activities outside the scope of the approved IEE and ETD, an amendment will be prepared to the approved Regulation 216 environmental documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.
- Include in the Performance Report a section on “Compliance with Environmental Regulation,” where the Grantee will specify actions taken, if any, or states that all activities were developed in accordance with applicable national laws and USAID guidelines.
- Under no circumstances will funds be used for: procurement or use of pesticides, purchase of equipment which could be used for commercial timber harvesting; nor activities, projects, or programs involving commercial timber harvesting unless the appropriate environmental assessment is conducted, and approved by the LAC/BEO.
- Compliance with and application of USAID Environmental Guidelines for Development Activities in Latin America and Caribbean (<http://inside.usaid.gov/LAC/RSD/E/epiq.html>); focus on these chapters of the Guidelines:
 - Chapter 2: Small-Scale Infrastructure” - section A. Construction Activities
 - Chapter 7: Ecotourism—if developed
 - Chapter 8: Agriculture and Watershed Management for restoration activities, if developed (A. Soil and Water Conservation; and B. Stream Bank Protection and Restoration)
 - Chapter 9: Forestry—for Reforestation and Agro forestry, if developed.

Conditions also include:

Responsibilities

- Each activity manager or **Contracting/Agreement Officer’s Technical Representative (COTR/AOTR)** is responsible for making sure environmental conditions are met (ADS 204.3.4). In addition, COTR/AOTRs are responsible for ensuring that appropriate environmental guidelines are followed, mitigation measures in the IEE are funded and implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.

- It is the responsibility of the **Strategic Objective (SO) Team** to ensure that environmental compliance language from the ETD is added to procurement and obligating documents, such as activity-related Strategic Objective Grant Agreements (SOAGs) and Modified Acquisition and Assistance Request Documents (MAARDs).
- The **Mission Environmental Officer** will conduct spot checks to ensure that conditions in the IEE and this ETD are met. These evaluations will review whether guidelines are properly used to implement activities under this ETD in an environmentally sound and sustainable manner according to USAID and applicable U.S. Government policies and regulations.
- The implementing **contractor or partner** will ensure that all activities conducted under this instrument comply with this ETD. Also, through its regular reporting requirements, a section on environmental compliance, e.g., mitigation monitoring results, will be included.

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA

Overview

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

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

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

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

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

Each application will be rated on a 100-point scale, with a maximum number of points assigned to each section.

Technical Approach - 40 points

Applicants will submit a comprehensive, articulated implementation plan describing their technical approach to improving biodiversity conservation and management of public lands in Brazil's western Amazon, according to the Program Description. The technical approach should demonstrate a clear understanding of the challenges and opportunities associated with IRs 1, 2, and 3, within the regional context. Furthermore, applications should clearly demonstrate adherence to USAID's Biodiversity earmark criteria outlined in Section IV above.

Applicants will be evaluated on the degree to which the proposed technical approach and methodology can reasonably be expected to produce the intended outcomes proposed by the Applicant. Consideration will be given to the likelihood that the Project will make a significant contribution towards achieving the goals specified in the Program Description. In addition, Applicants should articulate how the expected results will be transformative in nature.

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

- 15 Points:
An overall strategy and a comprehensive detailed **implementation plan** describing:
 - (i) Activities to be performed;
 - (ii) How these activities address the goals and performance objectives identified herein;
 - (iii) How activities will be monitored, with clear and appropriate milestones and expected accomplishments, measurable outputs and performance indicators. This section will provide critical input for the development of USAID/Brazil's Performance Management Plan (PMP) for the overall Environment Program, and should include the Applicant's proposed target for each indicator and the methodology for analyzing results;
 - (iv) How the Project will ensure sustainability of the results beyond the life of the Project, demonstrating the likelihood to positively impact public lands conservation initiatives supported by the Brazilian government across the Amazon.

- 15 Points:
A preliminary two-year **timeline of proposed activities**, detailing how the Applicant will ensure rapid start-up, mobilization, and implementation.

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

2. Staffing - 20 points

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

Quality of Personnel

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

The Applicant will be evaluated on its proposed administrative, monitoring and evaluation support, and the roster of short-term specialists submitted by the Applicant, as well as how well the Applicant has matched part-time, full-time, and short-term candidates with the skills needed to implement the Project. References must be provided for the proposed Key Personnel.

Project Manager

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

- Master's Degree or higher (PhD preferred) in a relevant field of study, such as biology, environmental sciences, natural resources management, forestry etc.
- Minimum 7 (seven) years of program/project management experience in fields related to the subject matter of this project, such as biodiversity conservation, natural resources management, forestry etc.
- Proven leadership in the administration of similar size international donor support programs/projects with skills in strategic planning, management, supervision, and budgeting.
- Experience working with diverse host country partners preferred, including experience overseeing grants and/or subcontracts.

- Knowledgeable in government relations/interactions; amongst national, state, and municipal levels.
- Strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the program.
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams.
- Knowledge of Brazil's relevant policies, laws, development, and management issues is highly desired.
- Language Proficiency: Minimum 4/4 in English and 3/3 in Portuguese required; 4/4 in Portuguese strongly preferred.

Deputy Project Manager

The Deputy Project Manager will assist the Project Manager in the overall management, implementation and monitoring of the Project, and serves as alternate of the Project Manager whenever appropriate. The Deputy Project Manager will have the following set of qualifications:

- Graduate degree or higher in a relevant field of study, such as biology, natural resources management, forestry, etc.
- At least 3 (three) years of program/project experience in biodiversity conservation and/or natural resources management, forestry, etc.
- Knowledge of Brazil's relevant policies, laws, development, and management issues is highly desired.
- Strong communication skills, both interpersonal and written, to fulfill the technical and managerial responsibilities proposed.
- Language Proficiency: Minimum 3/3 in English and 3/3 in Portuguese required; 4/4 in Portuguese strongly preferred.

Financial Manager

The Financial Manager will have the following set of qualifications:

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

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

3. Institutional Capacity - 20 points

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

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

4. Applicant Past Performance - 10 points

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

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

5. Consortium Structure and Governance – 10 Points

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

Applications will be evaluated on the Total Points Possible: 100 points

Cost Evaluation

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

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

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

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

Cost-sharing:

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

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

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

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

B. BRANDING STRATEGY AND MARKING PLAN

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

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

C. AWARD

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

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

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

Authority to obligate the Government: the Agreement Officer is the **only** individual who may legally commit the U.S. Government to the expenditure of public funds. No costs

chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

[END OF SECTION V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

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

A. ROLES AND RESPONSIBILITIES

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

B. REPORTING

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

- **Annual work plan, Performance Monitoring Plan (PMP) and Data Quality Assessment (DQA):**

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

The **work plans** shall be consistent with the Cooperative Agreement and include, at a minimum:

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

The Recipient is required to monitor performance according to the USAID/Brazil Biodiversity Conservation Program **Performance Monitoring Plan (PMP)**. The PMP will be developed with input from the Recipient and other implementing partners and will contain performance indicators to objectively measure progress towards achieving each objective, with definitions and units of measurement, as well as baselines and targets (annual and end-of-program). The Recipient will be able to

identify and measure these indicators as well as show trend lines and progress over time.

The PMP will provide the basis for all USAID Biodiversity Conservation implementing partners' progress reporting throughout the life of the program. The PMP will be reviewed annually with participation from the Recipient considering the flexibility that is required during program implementation to adjust to opportunities and constraints.

Data provided by the Recipient for all required indicators will be subject to a **Data Quality Assessment (DQA)** to be conducted by USAID on a bi-annual basis, at a minimum. The DQA will review performance indicator data against a set of data quality standards in order to ensure the accuracy, consistency, and integrity of the data used for performance management.

The DQA will verify the quality of the data based on the five V-TRIP quality standards (see below), and review the procedures used to collect data to be sure they are adequate and consistently applied.

The recipient should ensure that performance data (indicators) in the PMPs meet the five "V-TRIP" (Validity, Timeliness, Reliability, Integrity, Precision) **data quality** characteristics:

- **Validity:** Indicators should represent an unbiased and clear representation of the intended result
- **Timeliness:** Data should be current and frequent enough to be useful in performance management
- **Reliability:** The methodology used to collect data should be stable and consistent over time
- **Integrity:** Mechanisms should be in place to reduce the possibility that data can be manipulated
- **Precision:** Data should be sufficiently precise to determine if changes are significant and reasonably attributable to USAID projects (as opposed to variation in the data collection process)

Data for the DQA shall be submitted by the Recipient on an annual basis by October 30 of each calendar year.

- **Quarterly Progress Reports**

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

1. evaluate program's overall performance;

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

- **Quarterly Financial Reporting**

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

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

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

- **Final Agreement Completion Report**

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

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

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

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

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

The A&A Specialist for this Award is:

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

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

The AOTR for the planned Award is:

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

[END OF SECTION VII]

SECTION VIII – OTHER INFORMATION

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

(c) Submission Requirements

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

(1) Positioning

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

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

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

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

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

people support this project or program.

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

(3) Acknowledgements

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

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

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

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

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

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

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

and where the applicant will place the marking.

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

communications products funded by USAID with the USAID Identity.

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

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

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

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

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

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

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

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

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

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

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

(c) Implementation of marking requirements.

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

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

affixed, if circumstances warrant.

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

- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

[END OF SECTION VIII]

ATTACHMENTS AND ANNEXES

- Annex 1 –“Mid-Term Update of Country Analysis of Tropical Forests and Biodiversity Conservation” Report issued by USAID/Brazil on September 2009
- Annex 2 – Standard Indicators and Definitions
- Annex 3 – ETD and IEE
- Annex 4 - Environmental Mitigation Plan and Report (EMPR) Guidance
- Annex 5 - Matrix for Budget Preparation
- Annex 6 – SF424 forms
- Certifications, Assurances, and Other Statements of the Recipient (May 2006)

[END OF RFA-512-11-000003]

ANNEX 5 – MATRIX FOR BUDGET PREPARATION

PROGRAM ELEMENT - 4.8.1 Natural Resources and Biodiversity (A085) Program Sub-element: 4.8.1.4 Biodiversity Conservation (A0371)	Year 1	Year 2	TOTAL
IR 1. Participation of civil society, indigenous, and traditional communities in public land use planning and management increased			
IR 2. Environmentally sound management practices on public lands expanded			
IR 3. Opportunities for sustainable use of natural resources on public lands increased			
TOTAL USAID FUNDING			
TOTAL COST SHARE			

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees

that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making

or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING, IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

5. Certification of Recipient

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

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

PART II - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Email address.
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2. TAX PAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

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

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

DUNS: _____

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

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity

is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relieving items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE
GOODS PROBABLE				
(Generic)	UNIT COST	COMPONENTS	SOURCE	COMPONENTS
ORIGIN				

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

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE USE
(Generic)	UNIT COST	SOURCE	ORIGIN

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

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

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the

original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

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

6. TYPE OF ORGANIZATION

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

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

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