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Place of Performance:	Uganda

Subject: Notice of Funding Opportunity (NOFO)
Request for Applications (RFA) Number: 72061719RFA00003

Program Title: **USAID/Uganda Biodiversity for Resilience Activity**

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001-- USAID Foreign Assistance for Programs Overseas

Ladies/Gentlemen:

The United States Agency for International Development (USAID) Mission to Uganda (USAID/Uganda) is seeking applications from qualified entities to implement the USAID/Uganda Biodiversity For Resilience Activity.

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in other Sections of this NOFO.

Subject to the availability of funds, USAID intends to provide up to $15 million, to be allocated over the five-year period. USAID reserves the right to fund any or none of the applications submitted.

USAID intends to make an award to the Applicant who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO and subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of Activity sought, application submission requirements and selection process.

To be eligible for award, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on https://www.grants.gov, and may be amended. This NOFO and any future amendment can be downloaded from https://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse Agencies," and select the "Agency for International Development" and search for the NOFO. It is the responsibility of the Applicants to regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download a PDF program such as Adobe in order to view and save the forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been downloaded in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the

NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Any questions regarding this NOFO must be submitted in writing to KampalaUSAIDSolicita@usaid.gov . Questions sent to any other e-mail address will not be answered. The e-mail transmitting the questions must reference the NOFO number and title on the subject line of the e-mail. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted on https://www.grants.gov.

If you decide to submit an application, please note that electronic submission is required. Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov. Late applications will not be considered for award. Hard copy, telegraphic, or fax applications (entire application) are not authorized for this NOFO and will not be accepted.

An applicant under consideration for an award that has never received funding from USAID may be subject to a pre-award survey to determine financial responsibility, capacity, and ensure adequacy of financial controls.

Applicants are encouraged to register with the Data Universal Numbering System (DUNS) and System for Award Management at https://www.sam.gov/portal/public/SAM/ as these are mandatory requirements before any award can be made. In the event that the submission deadline is due before registration is complete, applicants should proceed with the submission of their applications. USAID may not award a Cooperative Agreement to an Applicant unless the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Issuance of this NOFO does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. All preparation and submission costs are at the applicant's expense. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Thank you for your interest in USAID/Uganda Biodiversity for Resilience Activity.

Sincerely,

M- Kamal- Ayub

Mohammad Kamal Ayub
Agreement Officer
USAID/UGANDA

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Section A. PROGRAM DESCRIPTION

A. INTRODUCTION

Under its 2016 - 2021 Country Development Cooperation Strategy (CDCS), USAID/Uganda seeks to establish a five-year, US $15 million activity that will assist communities, the GOU and the private sector to conserve and manage biodiversity in target ecosystems for lasting environmental and economic sustainability and increased community and household resilience. By reducing threats to biodiversity, the Biodiversity for Resilience activity will support more resilient ecosystems, species populations and communities in areas with high biodiversity value, while promoting broader sustainable economic development. Biodiversity conservation is the primary goal of USAID/Uganda's environment program activities. USAID's previous investments in ecotourism development and biodiversity conservation supported gains toward species recovery and sustainable landscape management. Taking a landscape-level approach that integrates community conservancies, conservation enterprises, and protected area management, this activity will build upon over 20 years of biodiversity conservation experience and lessons that USAID/Uganda and other donors have supported.

The **goal** of the USAID/Uganda Biodiversity for Resilience activity is to assist communities, the GOU and the private sector to conserve and manage biodiversity in target ecosystems for lasting environmental and economic sustainability and increased community and household resilience. The activity will achieve this through three interrelated **outcomes**:

Outcome 1: Economic, financial, and social investments are linked to and incentivize conservation

Outcome 2: Governance arrangements benefit biodiversity and enable communities to benefit from biodiversity

Outcome 3: GOU strengthens its sustainable management of targeted protected areas and biodiversity adjacent to protected areas

The activity will support community wildlife conservancies and protected area management while promoting market-based solutions, including nature-based tourism and other conservation enterprises, to improve stewardship of the natural resources necessary to sustain Uganda's economic development. Revenues from biodiversity are a significant potential source of income and employment for local communities. It is critical to involve frontline communities and ensure that they both learn to manage and protect natural resources and experience the potential economic benefits of Uganda's biodiversity and natural resources. Market-driven income and employment opportunities do not have to be at odds with preserving biodiversity and the integrity of Uganda's natural resources. In fact, those opportunities can and should complement those goals. This will contribute to Uganda's development and achievement of its Vision 2040 goals[1] of becoming a middle income country.

The Recipient will collaborate actively with other USAID implementers and other sources of relevant support, such as organizations engaged in promoting improved natural resource management, biodiversity

[1] http://npa.ug/wp-content/themes/npatheme/documents/vision2040.pdf

conservation and climate change adaptation; improved agricultural and other livelihoods; private sector engagement; and strengthened local governance and civil society to achieve its outcomes.

A.1 Background[2]

Situated between the humid West African rain forests and the drier East African savannas, Uganda lies at the convergence of seven distinct ecoregions, each supporting a rich national wealth of biodiversity. Uganda is home to more than half of Africa's birds, 40 percent of its mammals, and about 20 percent of the continent's plants and amphibians. The Albertine Rift running along Uganda's western border contains more vertebrate species than anywhere on the continent. Four of Africa's Great Lakes lie within Uganda or on its borders. Lake Victoria, the world's second largest inland freshwater lake, feeds the upper waters of the Nile River and hosts one of Africa's most diverse fish populations. Biodiversity can be a regulator of ecosystem processes, a provider of an ecosystem services, or a good that can be assigned an economic or other type of value. Uganda's species and landscape biodiversity are key factors for the long-term resilience of ecosystem functions and services.

Unfortunately, a growing population, uncurbed land use conversion, habitat degradation, unsustainable energy development, human-wildlife conflict, poaching and other types of wildlife crime are putting ever more pressure on ecosystems, leaving Uganda's impressive biodiversity in critical peril. Uganda loses an estimated 90,000-120,000 hectares per year of forest cover. Commercial timber and charcoal production species are declining rapidly and, at current rates, Uganda is on pace to lose all forest cover by 2050. Wetlands are likewise at serious risk. Uganda has lost 30 percent of its wetland system in just 15 years. Overexploited and degraded forests and wetlands, and the associated loss of animal habitats, are critical (but not the only) factors in the decimation of wildlife populations. Ugandan rhinoceros and oryx populations were driven to extinction. Uganda's elephant population—which had reached its lowest point in the mid-1990s—has been recovering, but its recovery has slowed. Still, elephants, along with lions, cheetah, painted dogs and 10 other mammal species, are critically endangered in Uganda. Mountain gorillas, endemic to the Albertine Rift, are listed as endangered. Altogether, including mammals, birds, reptiles, amphibians, butterflies, dragonflies and plants, Uganda has 247 species vulnerable to extinction, 170 endangered and 109 critically endangered.[3]

Underscoring the gravity of Uganda's biodiversity crisis, 7 sites in the country have been named biodiversity "hotspots," a designation assigned to sites representing only 2.3 percent of the world's land surface where: (i) success in conserving species has global impact but (ii) a minimum of 70 percent of vegetation has already been lost. In addition, Key Biodiversity Areas (KBAs) are sites that contribute to global biodiversity conservation because they conserve important populations of species. KBA criteria include assessment thresholds for globally threatened species (found on the IUCN red list) as well as restricted range species and important sites for congregations of a species. A total of 36 terrestrial/wetland

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[2] Statistics cited in the Background Section are taken from USAID/Uganda's December 2015 "Environmental Threats and Opportunities Assessment," except as otherwise footnoted. (http://www.usaidgems.org/Documents/FAA&Regs/FAA118119/Uganda_ETOA%202015.pdf)

[3] National Red List for Uganda, compiled in compliance with International Union for Conservation of Nature standards, by the Wildlife Conservation Society, supported by Tullow Uganda Operations Limited, and working closely with Makerere University, the National Forest Authority, Uganda Wildlife Authority, the National Fisheries Institute, Nature Uganda and other experts; January 2016; page 8 summary table. (http://www.nationalredlist.org/files/2016/03/National-Redlist-for-Uganda.pdf)

KBA sites and nine freshwater sites are identified for Uganda[4]. This includes some Important Bird Areas identified as critical habitat for globally-endangered species of birds in Uganda, and some sites under the Ramsar Convention on Wetlands of International Importance.

Uganda's biodiversity is essential to the country's economic growth and long-term stability. Forests support water provision and crop pollination, curb soil erosion, and provide other environmental services that are essential to the agriculture sector which feeds Uganda's people and is the source of almost 80 percent of both national employment and 85 percent of export earnings. Additionally, forest-supported enterprises, such as beekeeping, basketry, and the harvesting and sale of gum arabic, shea butter, nuts and fruits, medicinal plants, and other non-timber forest products, represent a vital source of household cash for forest-adjacent communities. Non-timber forest products alone account for 17 percent of the forest sector's contribution to Gross Domestic Product (GDP)[5]. Uganda's lakes and rivers provide valuable water quality services and flood and drought control, as well as, support a fishing industry that provides Ugandans with a major source of protein and represents 12 percent of agricultural GDP. The importance of Uganda's plant biodiversity to the health sector is evident in the wide application of over 300 species of wild trees, shrubs, flowers, and weeds in traditional healing systems, upon which approximately 80% of Ugandans depend.[6] Finally, the biodiversity associated with land and waterscapes underpins Uganda's tourism industry, which is a leading foreign exchange earner and growing source of direct and indirect employment.[7] Uganda has seen a steady growth in the tourism sector which accounted for 7.3% of GDP, foreign exchange earnings worth US $1.45 billion, and more than 600,000 jobs in 2017. Roughly 80 percent of these foreign exchange earnings were generated from visits to national parks.[8] One study indicates that enhanced GOU investment in water resources development and environmental management can increase per capita GDP by 9 percent by 2040.[9]

To date, Uganda has taken action to curb biodiversity loss with a particular focus on protected area management and countering wildlife trafficking. Since the 2000's many species populations have

[4] Plumptre, A.J., Ayebare, S., Pomeroy, D., Tushabe, H., Nangendo, G., Mugabe, H., Kirunda, B., & Nampindo, S. (2017). Conserving Uganda's Biodiversity: Identifying critical sites for threatened species and habitats. Unpublished report to USAID and Ministry of Tourism, Wildlife and Antiquities. (https://uganda.wcs.org/Portals/141/Summary%20report%20of%20Uganda's%20Biodiversity_final.pdf)

[5] Non-timber forest products in Uganda: Spatial tools supporting sustainable development (2006) UNEP-WCMC Biodiversity Series (https://archive.org/details/nontimberforestp06cott)

[6] National Biodiversity Strategy and Action Plan II (2015-2025), produced by the National Environmental Management Authority; October 2016. (https://nema.go.ug/sites/all/themes/nema/docs/NBSAP%20Uganda%202015%20-%20Re-designed.pdf)

[7] National Biodiversity Strategy and Action Plan II (2015-2025), produced by the National Environmental Management Authority; October 2016. (https://nema.go.ug/sites/all/themes/nema/docs/NBSAP%20Uganda%202015%20-%20Re-designed.pdf)

[8] Uganda Tourism Sector Annual Performance Report (2018), produced by the Ministry of Tourism, Wildlife and Antiquities, November 2018. (https://docs.wixstatic.com/ugd/2fa323_1404f3cfd40b43f281d63f893cc6ce1e.pdf)

[9] The Contribution of Water Resource Development and Environmental Management to Uganda's Economy, Industrial Economics Incorporated, 12 October 2016. (https://www.mwe.go.ug/sites/default/files/library/Economic%20Study%202018-Contribution%20of%20Water%20Development%20and%20Environment%20Resources%20to%20Ugandas%20Economy_0.pdf)

stabilized; some—including lions and elephants—are recovering, albeit slowly. In 2016 Uganda published their National Biodiversity Strategy and Action Plan II that addresses most of the Aichi Biodiversity Targets.[10] Though comprehensive, many targets are highly ambitious. Current indications of progress suggest positive trends but, that by 2020, Uganda will fall short of achieving many of them, notably targets for halting forest and wetland habitat loss.[11] The Uganda Wildlife Bill (2017) proposes additional investments in communities adjacent to protected areas, including a mechanism for compensation for loss of property and loss of life due to wildlife encounters. This bill, approved by Parliament and signed by the President, reflects a growing appreciation for the conservation role of communities in and around these areas.

Threats to Biodiversity

There are multiple threats to biodiversity in Uganda:

Poorly managed agricultural expansion and detrimental agricultural practices: Forests and wetlands are particularly vulnerable to small farmers who, with limited access to inputs and widespread use of poor farming practices, slash through forests, drain wetlands, and set fire to open new fertile cropland. Farmers who do have access to inputs and familiarity with modern agricultural practices can have a negative impact as well, with agrochemical-intensive farming systems and mono-cropping contributing to loss of genetic diversity through pollution of sub-soil ecosystems and over-specialization. Agriculture is also a prime source of the increasing levels of human-wildlife conflict. Crops and lives are lost to elephants, lions and other wildlife. In response, animals are exposed to trapping, poisoning and other means of extermination. Illegal grazing also comprises a significant threat to protected areas.

The quest for energy and economic growth: At the household and industry levels, the quest for energy coupled with inadequate policy, planning and enforcement is driving unsustainable extraction of natural resources. Indiscriminate cutting of trees for fuelwood is a significant threat to forests as over 90 percent of Ugandans rely on biomass for cooking. Charcoal producers have a preference for hardwoods and charcoal production accounts for the greatest loss of natural forests in Uganda. Development of more sophisticated energy solutions (for both local consumption and export), which is essential to expanding Uganda's economy, creates additional environmental burdens. Hydropower and ancillary development requires land clearing that can further fragment Uganda's protected areas system, which already falls short of providing adequate habitat and corridors to sustain viable populations of large mammals. Many oil and gas reserves are located in or on land adjacent to national parks and game reserves. Lions and other game have been poisoned by waters contaminated with petroleum industry discharges; and elephants, buffalos, giraffes and other mammals are affected by the noise, vehicle traffic and human presence at drill pads and other related sites. Oil-related land acquisition and weak local government enforcement are driving the degradation of forest and fishery resources in particular in and around

[10] In decision X/2, the tenth meeting of the Conference of the Parties, held from 18 to 29 October 2010, in Nagoya, **Aichi** Prefecture, Japan, adopted a revised and updated Strategic Plan for **Biodiversity**, including the **Aichi Biodiversity Targets**, for the 2011-2020 period.

[11] National Biodiversity Strategy and Action Plan II (2015-2025), produced by the National Environmental Management Authority; October 2016. (https://nema.go.ug/sites/all/themes/nema/docs/NBSAP%20Uganda%202015%20-%20Re-designed.pdf)

extraction areas.[12] Other extractive industries, including gold mining and sand and stone extraction, go unmonitored and are largely illegal. Discharges from salt, copper and cobalt mining further jeopardize wildlife as well as human life.

Poaching and other illegal activities: Poaching and other forest and wildlife crimes represent another category of threats. Elephants are killed for ivory, hippos for ivory and meat marketed in the Democratic Republic of Congo, antelopes and other animals for subsistence consumption, and pangolins for their meat and the mistakenly-presumed medicinal properties of their scales. Chameleons, parrots, other birds and reptiles, chimpanzees and young gorillas are captured for live illegal trade. Uganda is a major transit hub in the illicit international wildlife trade for wildlife products, mainly from Democratic Republic of Congo and Central African Republic.[13] While Uganda has successfully curbed illegal trade in chimps and gorillas, many of these animals are unintentionally injured in snares and traps set for other animals. Overfishing and the use of illegal gear to catch fish is also a threat, with strong evidence that fish stocks are rapidly declining. Illegal timber harvesting is another serious concern. While Uganda has a ban on timber harvesting, both central and local forest reserves are illegally harvested. Still, most logging for timber (and fuel wood) takes place on private land, where difficult-to-monitor harvesting is occurring beyond the natural rate of forest replenishment in response to a voracious timber market.

Transboundary threats: The majority of Uganda's protected areas and high biodiversity ecosystems are located at international borders, which are largely porous. People from neighboring countries enter and engage in illegal activities and resource off-take for subsistence and commercial use. Transboundary threats to biodiversity conservation and forest management are mainly poaching across borders, trafficking of wildlife and forest products, seasonal incursions of pastoralists for water and grazing resources, fishing, charcoal burning, and timber harvesting. As elephant populations in neighboring countries dwindle due to poaching, pressure on Uganda's protected areas increases. Deforestation and forest degradation are not new phenomena in Uganda, where the rate of forest loss is one of the highest in the world at 4% per annum, but the refugee presence has added to existing pressure on the environment causing an increased risk of degradation. Land cover change analysis shows an increase in tree cover loss and degradation both within and around the refugee settlements after the start of the refugee influx due to the crisis in South Sudan. Total cooking fuel demand in the 14 targeted refugee settlements is about 500,000 tons of wood per year, based on the December 2017 refugee population. This is about five times the quantity of tree growth within the settlements and the 5 km buffer, which could result in annual biomass loss of about 10%.[14]

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[12] Biodiversity and Extractives Political Economy Assessment Summary. Case Study: Oil Development in the Albertine Region of Uganda. 2017 (https://www.traffic.org/site/assets/files/8460/uganda_wildlife_assessment.pdfttp://www.integrallc.com/wp-content/uploads/2017/09/USAID-Uganda-PEA_BEP_Summary_Final.pdf)

[13] Rossi, A. (2018). Uganda Wildlife Trafficking Assessment. TRAFFIC International, Cambridge, United Kingdom. (https://www.traffic.org/site/assets/files/8460/uganda_wildlife_assessment.pdf)

[14] Rapid Diagnostic Assessment of Land and other Natural Resources Degradation in Areas Impacted by the South Sudan Refugee Influx in Northern Uganda, produced by the FAO and World Bank, October 2018. (https://www.researchgate.net/publication/330857921_Rapid_Assessment_of_Natural_Resources_Degradation_in_Areas_Impacted_by_the_South_Sudan_Refugee_Influx_in_Northern_Uganda)

Drivers of threats to biodiversity

Foremost among the drivers of these threats are high rates of population growth in the context of high levels of poverty. Uganda's population is the third fastest growing in the world, projected to reach 75 million people by 2040,[15] and population densities are among the highest in Africa. The need to economically and nutritionally support this population will continue to drive encroachment into forests, land conversion and unsustainable fishing and wetland degradation. High levels of poverty and inadequate access to social services, including education, health, and protection services exacerbate the situation, further accelerating population growth and putting more strain on an already stretched natural resource base. With limited alternatives to agriculture livelihoods, people often cut trees for fuelwood; clear land for agricultural expansion; engage in poaching, illegal grazing and other illegal subsistence activities; and rely on other coping strategies that undermine Uganda's natural resource wealth. Few of Uganda's millions of small landholders have secured tenure rights, reducing incentives for sustainable agriculture and leaving smallholders and, in some instances, entire communities, susceptible to losing land to speculators and commercial interests. Communities adjacent to protected areas typically have a very limited stake in the management within park and reserve boundaries.

Gender roles affect economic, political, social and ecological opportunities and constraints faced by both men and women. While women often have specialized knowledge of biodiversity and natural resources upon which they can draw for sustainable use of those resources, their participation in biodiversity management and decision-making processes is often denied, as gender-differentiated societal roles and social norms favor higher levels of male participation in conservation activities and decisions. Even where women are elected to leadership roles in community-based natural resource management governance committees, they often do not possess the same license to decision making as do their male counterparts. Recognizing women's roles as primary land and resource managers and entry points to household-level behavioral change is central to the success of biodiversity interventions.

Weak governance is another underlying issue. Uganda has made strong progress in putting in place a legal and regulatory regimen to protect biodiversity. It has made less progress in the successful implementation of that regimen. Constraints include limited government resources available to meet the challenges (for example, 0.1% of the national budget goes to the Ministry of Tourism, Wildlife, and Antiquities [MTWA][16]) as well as tangled lines of responsibility among government agencies; widespread corruption, including within the ranks of those responsible for protecting biodiversity; and low levels of appreciation of the value of Uganda's biodiversity among government officials and within the general population and, thus, little prioritization given to protecting it. Government has few resources, little capacity and, arguably, limited will to mediate conflicts between its ambitious economic development plans and biodiversity protection. Responsibility for natural resource management outside of designated protected areas is delegated to district governments where resource shortfalls are chronic and capacity most stretched. Community governance which has been successful elsewhere in Africa through

[15] UNFPA 2017 (https://uganda.unfpa.org/sites/default/files/pub-pdf/Issue%20Brief%201%20-%20Population%20dynamics.%20Final.%2010.5.2017.pdf)

[16] PWC 2018. Industrialisation for job creation and shared prosperity: Uganda's 2018/19 National Budget (https://www.pwc.com/ug/en/assets/pdf/budget-bulletin-18-2019-ug.pdf)

community-based natural resource management approaches is still in the nascent stages of development in Uganda.

Climate change is a growing challenge to biodiversity. Extreme temperatures and changing precipitation patterns are already occurring and are predicted to continue to dramatically alter water recharge and retention capacity that supports watersheds; trigger changes in flora and fauna abundance and distribution; create ecological conditions that favor colonization by invasive species; and increase the vulnerability of ecosystems to disease, pest outbreaks and fires. Extreme weather conditions also disrupt historical migration patterns. Already there is evidence of increased human-wildlife conflict during the dry seasons as mountain gorillas, elephants, chimpanzees, and other animals are forced to search for new foraging opportunities.

The scope of the Biodiversity for Resilience will address proximate threats to biodiversity (e.g. wildlife habitat encroachment, forest cover loss, illegal hunting, etc.), as well as, elements of several underlying drivers of those threats (e.g. poverty, gender inequity, poor governance, poor private sector linkages to biodiversity, and climate change). However, for some identified drivers of biodiversity loss, this activity will rely upon complementary action through other activities. Partnerships and coordination with USAID, other development partners, and GOU support for health (e.g., family planning and service provision), youth development, governance, and market systems is necessary to achieve this Activity’s outcomes.

A.2 Past U.S. Government Assistance to the Environment Sector

Considerable biodiversity conservation and some eco-tourism measures have already been undertaken in Uganda with USAID support, most recently through the Tourism for Biodiversity/Biodiversity Program activity (2012-2017). In 2013, USAID/Uganda temporarily halted its support for eco-tourism in Uganda and pivoted its approaches to focus on protected area management, non-tourism conservation enterprise development, and support for community wildlife conservancies and collaborative forest management in the Kidepo Valley, Albertine Graben and Lake Mburo landscapes. A Conservancy Bridge award under The U.S. Forest Service/USAID-East Africa Participating Agency Program Agreement is currently underway to support three nascent conservancies to initiate governance, biodiversity management and private sector partnership structures. Other previous USG activities that supported biodiversity conservation and eco-tourism in Uganda include:

USAID/Uganda’s Environmental Management for the Oil Sector (2012-2017) strengthened the capacity of Ugandan institutions to mitigate, monitor and manage the impact of oil and gas development on Uganda's environment and biodiversity in the Albertine Graben. The activity supported the development of sensitivity atlases for protected areas within the Albertine and worked with higher education institutions to develop short and long courses designed to support a cadre of environmental professionals equipped to manage potential environmental impacts of oil development in Uganda. Sensitivity atlases and District Environmental Action Plans developed under this activity support decision-making for protected areas and buffer zone management in oil-rich areas.

USAID/Uganda’s Sustaining Technical and Analytic Resources (STAR) Program (2009-2011) demonstrated enhanced, domestic tourism appreciation among different tourism sector stakeholders, including remote communities affected by wildlife. Unfortunately, due to the pivot away from supporting eco-tourism, many of the ecotourism enterprises initiated still lack the capacity to develop and manage sound, tourism-related businesses and require technical support in marketing the products, bookkeeping and business relationship development. It is envisaged that ecotourism models and private sector partnerships will be scaled up and form a foundational element of this activity.

The Wildlife, Livelihoods and Development for Conservation Program (WILD) (2007-2010) contributed to mitigating threats to biodiversity conservation adjacent to protected areas in Western and Northern Uganda. The Mission supported environmental education and communication and contributed to the establishment of alternative improved conservation livelihoods that show potential for scaling up through this Activity.

The Productive Resource Investments for Managing the Environment in the West (PRIME WEST) program supported the NFA to improve the Kaniyo Pabidi Ecotourism Site in Budongo forest. The site, which is located within the chimpanzee habitat, has enabled tourism visitations to increase and the welfare of the chimpanzees and the communities adjacent to improve tremendously.

The World Bank, through the Protected Areas Management and Sustainable Use (PAMSU) project, also supported some tourism infrastructure including the development and maintenance of roads in some of the national parks and the construction of the UWA Headquarters in Kampala. Other donors supported community based Natural Resource Management (CBNRM) initiatives, some of which included ecotourism development as an economic activity.

Data from market analysis and evidence review highlight that, to maximize benefits (economic and other) from and to biodiversity, conservation efforts must include private sector engagement/market-based solutions and community partnerships that promote viable alternatives that drive sustainable outcomes. In addition, communities identified that the enabling environment for biodiversity conservation includes a “basket of benefits” or access to social services including education, health services, credit and other financial services, climate services, etc. that position households and communities to engage in conservation-related activities. Thus, this activity will need to coordinate and work closely with other efforts that are supporting access to these services in the same geographic areas. Likewise, this activity will need to consider the differentiated social and societal roles of men, women, and youth so that each is empowered to participate actively and meaningfully to conservation outcomes.

B. DEVELOPMENT HYPOTHESIS, ACTIVITY GOAL AND OBJECTIVES

B.1 Development Hypothesis and Key Assumptions

The goal of the Biodiversity for Resilience activity is based on the theory of change that:

If an integrated approach for sustainable management of biodiversity (both within and outside protected areas) is taken to leverage the leadership of communities, the GOU, and the private sector and facilitate the success of conservation enterprises,

Then Ugandans will:

- Have increased capacity to manage biodiversity; and
- Derive economic and other benefits that incentivize conservation; and
- Enhance coexistence and reduce conflicts with wildlife.

This will lead to reduced threats to biodiversity and ultimately more resilient ecosystems and species populations in critical landscapes.

Achievement of the Theory of Change relies on several key contextual and programmatic assumptions:

Contextual Assumptions

- There will be no conflict escalations in the conflict-prone areas of southwestern, western, northern, and northeastern Uganda that will result in large-scale violence.
- The country will not experience a catastrophic climatic event that will irrevocably destroy natural resource-based livelihood prospects in project areas.
- The GOU continues to support the coordination platform for multi-sectoral development planning in the Albertine.
- Support for the health, education, agriculture, and other sectors will support the "basket of benefits" identified by stakeholders as necessary enabling conditions for engaging in conservation activities, (i.e., access to health services, resiliency in the face of human-wildlife conflict, access to social services (education, infrastructure), access to clean water, improved relationship with protected area authority).

Programmatic Assumptions

- By promoting conservation as a business and linking to value chains supported through market systems development activities, USAID can help change youth perceptions about the attractiveness of careers in conservation enterprises.
- Capacity for and access to sustainable agricultural production will be improved through market systems development efforts.
- Enterprises mitigate human wildlife conflict and/or are genuine substitutes for bush meat hunting, rather than additional sources of income.
- Support for governance systems strengthening will promote transparency, public accountability and anti-corruption related to extractives and countering wildlife crime.

USAID recognizes that given the complexity of the current development landscape, the theory of change will need to be periodically jointly revisited and potentially adjusted in accordance with an ongoing, iterative analytical approach. It will be essential for monitoring, evaluation, and learning actions, underpinned by staff skills and processes, to periodically examine ongoing progress with respect to the key drivers for transformative and sustainable development and biodiversity conservation.

B.2 Statement of Intended Results

Goal: To assist communities, the GOU and the private sector to conserve and manage biodiversity in target ecosystems for lasting environmental and economic sustainability and increased community and household resilience.

The USAID/Uganda Biodiversity for Resilience activity will achieve this through three key interrelated outcomes:

Outcome 1: Economic, financial, and social investments are linked to and incentivize conservation
Outcome 2: Governance arrangements benefit biodiversity and enable communities to benefit from

biodiversity
Outcome 3: GOU strengthens its sustainable management of targeted protected areas, and biodiversity adjacent to protected areas

The USAID/Uganda Biodiversity for Resilience activity is integrated with mutually reinforcing outcomes. As a result, illustrative interventions and results may be interrelated and gains made in one outcome area may contribute to additional outcome areas.

C. EXPECTED OUTCOMES AND ILLUSTRATIVE RESULTS

C.1 <u>Outcome 1:</u> Economic, financial, and social investments are linked to and incentivize conservation

Market-based and social incentives to protect Uganda's natural heritage are cost-effective and sustainable ways to achieve conservation objectives, and are typically met with less resistance than command and control alternatives for biodiversity protection. Creating and strengthening economic and social incentives for biodiversity involve communities, wildlife conservancies (both community and private), GOU, and private sector actors working together to identify opportunities for public-private partnerships and to implement business solutions. Investments will improve social and economic well-being and promote diversification of economic opportunities for protected-area adjacent communities, especially for youth, women and other disadvantaged groups. The aim is to reinforce community and private sector linkages to each other and to biodiversity that help communities have a stake in and derive benefits from conservation and sustainable natural resource management.

Linking conservation enterprises to positive biodiversity outcomes has been challenging in Uganda. Certain conditions that support successful conservation enterprises include: alignment with the needs and aspirations of all participants (conservancy bodies, private sector actors, conservation area managers), diversification of livelihood options, existence of strong market demand, positive profit potential, access to credit and/or capital, community ownership, strong governance systems, compliance with government requirements, supportive policies and legal frameworks, supportive business alliances and partnerships, necessary skills, equipment, infrastructure, equitable benefit-sharing, close connection to the natural resource, a combination of other strategic approaches, plans to manage external forces/ disturbances, and existence of policies and legal frameworks to control overuse of natural resources.

Successful interventions will render benefits that tangibly enhance biodiversity, outweigh returns from alternative biodiversity degrading activities, and will be scalable. Income generating activities must be linked to commonly agreed upon conservation objectives.

Given the limited capacity of many communities, innovative ways are needed to engage private sector actors with the necessary expertise and capacity to partner with and help communities to establish conservation enterprises. Private sector engagement strategies, market linkages and product and business development skills must be integrated into interventions up-front. Private sector-community partnerships should emphasize the role of communities as co-investors, co-managers and/or vital suppliers of inputs for conservation enterprise investments. Interventions should vary from site to site and should align strongly with community preferences, interests, skills, and visions for development. But crucially, those community preferences should be anchored to a biodiversity-dependent business interest, whether it be an impact investment opportunity already being pursued by a firm or by some other market-demanded good or service. It is imperative that the opportunities be rooted in sustainable and local economic activity and not be built out of nothing, and with a realistic understanding of the timelines that are needed to yield significant biodiversity conservation and livelihoods results.

Expected results include, but are not limited to:

- Strategic partnerships with private sector secured (GOU, communities, enterprise groups, conservancies, etc.)
- Increased investment in a diversity of conservation supporting economic opportunities that respond to market demand
- Market linkages for sustainable and wildlife friendly products facilitated
- Increased capacity for networking and developing small and micro tourism and other conservation enterprises, including community financial management skill development
- Successful pilot interventions for conservation enterprise are scaled up

C.2 Outcome 2: Governance arrangements benefit biodiversity and enable communities to benefit from biodiversity

To establish and operationalize community organizations that promote environmentally sustainable and economically beneficial biodiversity and natural resource management outside protected areas, USAID envisions this activity working with district/local and national government, park management and forest resource management authorities, community conservancies, non-governmental organizations, research institutions, and the private sector to attract communities to participate in registered conservancies and strengthen the performance of conservancies in biodiversity protection. With communities at the heart of this approach, the aim is to enhance biodiversity protection and sustainable resource management adjacent to protected areas by facilitating structures and mechanisms that bring bidirectional benefit to communities and biodiversity. Private sector engagement, public-private partnerships, secure land ownership and/or usage rights, infrastructure development, and business development skills are critical for advancing conservation enterprises, including tourism, that are transformative rather than simply additive for long-term engagement in biodiversity management at protected area boundaries and within conservancies. Collaboration with other activities should increase awareness of and promote the “basket of benefits” available to communities that participate in improved biodiversity and natural resource management.

Interventions under Outcome 2 will be supported by tourism, conservation enterprise, and other private sector-community partnership development under Outcome 1 and improved community relations with park management authorities under Outcome 3. The results of Outcome 2 will support activities in Outcome 1 where communities will benefit from managing their land adjacent to protected areas.

Expected results include, but are not limited to:

- Conservancies developed with land use, biodiversity management and business development plans and functional conservancy governance structures in place and implemented

- Community land tenure and/or use rights secured
- Private sector engagement with conservancies to support land use and business development plans and conservation enterprises facilitated
- Communities adjacent to protected areas adopt sustainable biodiversity and natural resource management practices

C.3 Outcome 3: GOU strengthens its sustainable management of targeted protected areas, and biodiversity adjacent to protected areas

Sustainable management of protected areas requires strong partnerships between protected area management authorities and adjacent communities. Efforts to strengthen the capacity of the GOU and communities to manage protected areas and biodiversity will likely include facilitating GOU and community co-management of land adjacent to protected areas, including community conservation areas and forest reserves. This entails deepening the institutional capacity of the national and district/local government to monitor and protect biodiversity both within and outside of protected area boundaries, strengthening data-driven decision making, strengthening relationships with communities, harmonizing roles and mandates across key ministries, departments and agencies, and strengthening regulatory and other frameworks for implementing biodiversity conservation and natural resource management policies. Strategic planning at the landscape level and at district/local levels strengthens conservation.

Co-management guidelines and agreements that clearly delineate the roles and responsibilities of communities and protected area authorities should include resource governance plans, clear guidelines for revenue sharing, and communication plans that encourage ongoing dialogues for transparency and equitable benefit sharing. Successful approaches should ensure that all parties are aware of their rights especially with respect to access, benefit sharing, conservancy membership, compensation, etc. Government officials, NGOs and community members working together and using information technology (i.e., cell phones, tablets) can collect data on wildlife movements, poaching, encroachment and other localized issues on an ongoing basis. Strategic improvements to infrastructure may bring added value to government-NGO-community coordination. This will improve planning, monitoring, and adaptive biodiversity management approaches based on the current situation. These approaches, including regular monitoring of implementation of management plans, will help address habitat degradation in selected, high biodiversity landscapes and support improved relationships between communities and protected area authorities.

Both improved GOU enforcement capacity and increased civil society capacity to hold government accountable are also important to achieve this objective and will be supported through the Combating Wildlife Crime (CWC) and Strengthening Systems and Public Accountability (SSPA) activities respectively. Policy and regulatory frameworks should guide the development of sustainable tourism and other conservation enterprises that have the potential to address and augment biodiversity conservation and benefit both households and communities, creating enhanced value for protected areas and wildlife and reducing otherwise destructive, unsustainable behaviors (e.g. encroachment, unsustainable timber harvest, charcoal production, firewood collection, and poaching).

<u>Expected results include, but are not limited to</u>:

- Revised protected area and forestry policies, laws, regulations, guidelines and plans
- Increased GOU and community appreciation for the value of biodiversity
- Increased GOU political will and technical capacity for adaptive management of biodiversity and co-management with communities
- Improved ability to engage constructively with civil society
- Enhanced frameworks for landscape level and district/local-level planning for biodiversity management
- Relationships between communities and protected area and forestry authorities strengthened

C.4 Geographic Focus OR Area of program operation

Geographically, USAID/Uganda's current biodiversity activities focus in protected areas and neighboring communities in Murchison Falls, Lake Mburo, and the Kidepo Valley as well as in the Kalinzu and Budongo Central Forest Reserves. Species focal points include elephants, hippopotamus, large cats, pangolins, giraffe and great apes. Applicants should also consider opportunities in the Queen Elizabeth landscape.

D. Activity Planning, Monitoring, Reporting, Evaluation and Learning:

D.1 Performance Monitoring, Evaluation and Learning Approach

USAID is committed to building the evidence base for programming. Across all activity results there is need to emphasize rapid, robust and programmatically-usable monitoring that is comprehensive in nature and includes tools to gather real-time data and facilitate course-correcting over the life of the Activity. This Activity, in close consultation with USAID, will develop and implement a robust learning agenda with quick feedback loops (e.g., through developing a plan to generate and disseminate knowledge to strengthen implementation).

This activity will incorporate innovative approaches to monitoring, evaluation, and learning, and results may be captured by methods which may include, but are not limited to: qualitative research methods (stakeholder interviews, focus groups, case studies, learning reviews); quantitative methods, such as surveys, use of mobile technology for monitoring; 'pause and reflect' moments and listening sessions across stakeholder cohorts; and focused political economy analyses.

D.2 Illustrative indicators

Below is a list of illustrative indicators per outcome area. This list is not exhaustive, but rather representative of Biodiversity and Feed the Future required indicators.

Outcome Area	**Illustrative Performance Indicators**
Activity Goal: To assist communities, the GOU and the private sector to conserve and manage biodiversity in target ecosystems for lasting	• Number of hectares of biologically significant areas showing improved biophysical conditions as a result of USG

Outcome Area	**Illustrative Performance Indicators**
environmental and economic sustainability and increased community and household resilience.	assistance ● Environmental Performance Index[17]: Biodiversity and Habitat score
Outcome 1: Economic, financial, and social investments are linked to and incentivize conservation.	● Number of people with improved economic benefits derived from sustainable natural resource management and/or biodiversity conservation as a result of USG assistance ● Value of new private sector capital investment in the agriculture sector or food chain leveraged by USG resources
Outcome 2: Governance arrangements benefit biodiversity and enable communities to benefit from biodiversity	● Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance ● Number of institutions with improved capacity to assess or manage biodiversity and/or associated climate change risks supported by USG assistance
Outcome 3: GOU strengthens its sustainable management of targeted protected areas, and biodiversity adjacent to protected area	● Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance ● Number of laws, policies, or regulations that address biodiversity conservation and/or other environmental themes officially proposed, adopted or implemented as a result of USG assistance

E. CROSS CUTTING REQUIREMENTS/OTHER CONSIDERATIONS

E.1 Relationship to CDCS and Coordination with Other Activities and Actors

[17] The 2018 Environmental Performance Index (EPI) ranks 180 countries on 24 performance indicators across ten issue categories covering environmental health and ecosystem vitality. The Biodiversity and Habitat score is a contextual indicator that helps USAID track GOU commitment to conservation as part of its journey to self-reliance. The EPI is produced jointly by Yale University and Columbia University in collaboration with the World Economic Forum. Wendling, Z. A., Emerson, J. W., Esty, D. C., Levy, M. A., de Sherbinin, A., *et al*. (2018). *2018 Environmental Performance Index*. New Haven, CT: Yale Center for Environmental Law & Policy. https://epi.yale.edu/

USAID/Uganda is committed to reinforcing Uganda's efforts to conserve its biodiversity for resilient, inclusive development. Biodiversity investments support a suite of activities - of which this activity is one - designed to promote Uganda-led sustainable development through the conservation of targeted biodiversity and natural resources. Broadly, USAID/Uganda's biodiversity portfolio aims to help Ugandan counterparts: increase the resilience of biologically significant ecosystems and the communities they support; improve the conservation status of key species of global importance and strengthen the enterprises that incentivize conservation; and develop well-functioning systems in support of sustainable natural resource management and resilience to the impacts of climate change.

Because a healthy natural resource base is a foundational element to multiple development outcomes, this activity primarily aligns with USAID/Uganda's CDCS Development Objective One (DO1) - "Community and household resilience in select areas and target populations increased" through the joint sub-intermediate result 1.x.2. - "natural resources managed sustainably." Sustainable natural resource management, including biodiversity conservation, promotes resilience by increasing communities' and households' capacity to manage risks and address vulnerabilities related to environmental shocks and poor natural resource management. Biodiversity conservation and conservation-friendly enterprises provide opportunities to diversify community and household assets, including natural capital. The activity will also contribute indirectly to Development Objective Two (DO2) - "Demographic Drivers Affected to Contribute to Long Term Trend Shift" - and Development Objective Three (DO3) - "Key Systems More Accountable and Responsive to Uganda's Development Needs."

This activity will contribute to, and benefit from, USAID's programmatically-integrated CDCS as indicated in the CDCS Results Framework (Annex C). This will require the Recipient to collaborate actively with other USAID implementers and other sources of relevant support, such as organizations engaged in promoting improved natural resource management, biodiversity conservation and climate change adaptation; improved agricultural and other livelihoods; private sector engagement; and strengthened local government and civil society to achieve its results. In addition, the Recipient will also participate in USAID/Uganda's commitment to leverage and "layer" natural resource management, agriculture and other livelihoods activities, health and family planning, education, and other interventions at the district, sub-county, parish, and/or community level where relevant.

USAID anticipates that this Activity will work with USG partners supporting biodiversity, climate change, market systems development, and resilience programming, especially including: the Combating Wildlife Crime, Uganda Biodiversity Fund and Forest Sector Support activities. This activity will seek to collaborate or even converge with these activities along the integration spectrum to reduce direct threats to biodiversity. These partnerships should be characterized by common biodiversity conservation goals, shared activities, joint planning, coordination and learning meetings, complementary implementation, shared decision making and accountability, coordination and planning structures, common indicators and learning agendas, and similar target groups and target areas where relevant.

In addition, the activity will seek to coordinate with the following activities: Integrated Community Agriculture and Nutrition and Integrated Agriculture Markets activities to promote nature-friendly agricultural practices and market linkages for conservation enterprises; Institutional and Systems Strengthening activity to support environment and natural resources-related institutional, policy and legal frameworks, Invest Uganda to promote private sector engagement, and Strengthening Systems and Public Accountability activity to reduce natural resources corruption and promote public accountability. It should also work with USG activities supporting health service delivery in Uganda which are still under procurement, including the Regional Health Integration to Enhance Services, the Social Behavior Change for Transformation and Voluntary Family Planning for Improved Health and Development activities to promote family planning services that target to reduce population pressure on natural resources. These partnerships will be characterized by the sharing of information and other resources, joint planning and coordination meetings, common sector indicators and co-location where it makes sense. This Activity will also coordinate/collaborate with USAID/Uganda's Regional Coordination efforts through which the mission is strengthening regional partnerships with local leaders from across segments of society.[18]

This activity will place a heavy emphasis on engaging youth, women and other disadvantaged demographic groups. Consistent with the CDCS, the activity will, in particular, seek to address the challenges faced by the 14 year-old girl, whose financial power, access to markets and services, and vulnerability to environmental shocks symbolically represent that of the average Ugandan. As the CDCS indicates, her life must be improved if Uganda is to generate the sustainable, broad-based prosperity and shared stake in the future that will ensure the country's long-term stability.

Primary counterparts for the activity will include the Uganda Wildlife Authority (UWA), the National Forestry Authority (NFA), district local governments, communities, private sector actors and conservancy management bodies in the targeted regions. The activity will also support and otherwise engage with the NFA and UWA home Ministries, MTWA and the Ministry of Water and Environment (MWE) respectively. Public-private partnerships and other private sector engagement will be critical to creating the envisaged economic incentives.

E.2 Guiding Principles

USAID/Uganda's CDCS establishes 15 Guiding Principles for the design and implementation of activities under the CDCS. The principles set out what USAID considers to be the most important considerations and preferred practices for accomplishing CDCS goals and objectives.
Interventions under this activity should emphasize the following six Guiding Principles:

- <u>Being Deliberate in Collaborating, Learning and Adapting (CLA)</u>: The concept of adaptive management is grounded in environmental management—the attempt to understand and intervene in complex and often rapidly changing ecosystem processes—and requires understanding and modeling systems and building in multiple sources of and opportunities to gather and share information. This activity's vision and strategy for management should intentionally consider and adapt approaches based on program learning and inputs from internal and external researchers and evaluators. USAID and its implementing partner will collaborate with other USAID and non-USAID programs to leverage resources and ensure complementarity. The two will likewise facilitate collaboration among Ugandan partners. Learning will be achieved through monitoring, evaluation, and ongoing analyses. USAID and its implementing partner will develop a set of

[18] See USAID/Uganda's Regional Development Briefer, May 2018

hypotheses that will be tested during implementation and structure interventions as laboratories in which lessons can be learned and applied. The two will regularly re-evaluate actions and assumptions to minimize risk, eliminate what isn't working, and test and scale-up promising and innovative approaches.

- Prioritizing Partnerships that Enable Uganda-Led Development: The activity will facilitate partnerships between the GOU and communities; between communities and the private sector; and other partnerships that are critical for sustainable landscape-level impact. This Activity's interventions and support must be implemented with approaches that develop and/or build on (rather than duplicate) key Ugandan partners' capacity to plan, implement and monitor biodiversity conservation activities.
- Pursuing Integrated Approaches at Various Levels When and How It Makes Sense: USAID/Uganda and its implementing partners will be role models in achieving the programmatic integration envisaged in the CDCS. This activity will leverage expertise and other resources from USAID activities promoting climate-smart agriculture, alternative livelihoods, civil society development, etc.; and participate actively in USAID efforts to layer market-driven livelihood, economic growth, health, education and democracy and governance activities at the district level whenever possible. This could include joint work planning with relevant partners working in the same geographic area or under the same project to promote coordination, complementarity, and alignment.
- Fostering Leadership as a Lever for Change: The activity will identify and develop champions for biodiversity in communities, the GOU and the private sector, including with those who would seek out impact investment opportunities that would have positive benefits to biodiversity. Skills will be built in consensus building, negotiation, conflict management, outreach and promotion, managing people and processes, and other leadership areas.
- Facilitating Inclusive Stakeholder Engagement: USAID/Uganda and its implementing partner will engage stakeholders at the national, sub-national, and community level throughout the activity life cycle for guidance, feedback, and strengthening local buy-in. They will likewise strengthen the stakeholder engagement skills of government counterparts, community, and conservancy leaders and, to a lesser extent, civil society. This activity should actively work with local systems actors to reduce barriers for women, youth and other marginalized groups in all stakeholder engagement processes. In the face of increasing economic disparity and various forms of exclusion and discrimination, approaches and interventions will need to specifically engage and empower marginalized and vulnerable populations throughout implementation. Stakeholders will be found in communities, government at national and local levels, civil society, and the private sector.
- Building in Science, Technology, Innovation, and Partnership (STIP): With its implementing partners, USAID/Uganda will leverage science and technology to improve sustainability and local systems. The Activity will incorporate innovative approaches to programming and encourage innovations that improve communication and partnerships between the different stakeholders and enhance benefits to biodiversity.

E.3 Sustainability

A critical consideration for the activity is the long-term environmental, financial, and social sustainability and viability of benefits, impacts, and results.

- **Environmental sustainability** requires addressing threats to species and ecosystems. Efforts should address not only current threats to ecological function and diversity but should also focus on increasing ecosystem resilience to future threats.
- **Financial and economic sustainability** requires building or strengthening the financial infrastructure to support long-term conservation. Efforts can focus on analyzing the financial resources needed for priority conservation actions over the long-term and the feasibility and appropriateness of various financial, market, and economic mechanisms.
- **Social sustainability** requires addressing social barriers to and opportunities for conservation action to increase ownership at all levels. At a minimum, social sustainability involves ensuring that efforts do not undermine the livelihoods and wellbeing of key groups, including women and youth, for USAID's development investment. In addition, USAID believes that conservation should yield social benefits and build resilience and social capital − trust, capacity, and collective action − while reducing conflict and vulnerability through good governance, transparency, and accountability.

Environmental, financial, and social sustainability elements are interrelated and critical to achieving sustained impact. For example, without sufficient economic resources devoted to conservation and sustainable use, other land uses will often out-compete and undermine environmental sustainability. More specifically, protected forests and wildlife areas may be converted to agricultural use if there is not a system for valuing their ecosystem services or if there are not profitable enterprises linked to forests and other protected areas. Likewise, there must be a significant social constituency supporting conservation and climate change efforts over time to assure environmental sustainability. Stakeholders must derive *and* perceive benefits from conservation and sustainable use, and they must be able and willing to act when threats emerge.

In addition, the institutional sustainability at the community level and of relevant GOU institutions at multiple levels as well as political sustainability are important for the long-term success of this Activity. The sustainability of the wildlife conservancy and collaborative forest management bodies and associated conservation enterprises must be considered from the very beginning of Activity. Without the sustainability of these community level institutions the results of the Activity will be short-lasting. In addition, the technical capacity of the GOU institutions, especially the UWA and the NFA, is critical at the national and landscape levels. Finally, the political sustainability of community wildlife and forest management and enterprises will require sustained political support from the executive and legislative branches of the GOU. This Activity will work to maintain continued political support of community level engagement for both the management of wildlife and forests and the generation of local level benefits.

E.4 Gender and Youth Considerations

Women and youth typically access, manage, and control biodiversity and natural resources in ways different from men due to traditions, status, and responsibilities. Any activity that seeks to affect the use of natural resources should recognize the different behaviors, roles, and responsibilities of men, women, and youth.

Men and women are involved in different aspects of land and resource management, as well as household livelihood. Often women have less secure land and resource tenure and are thus less able to effect long-term improvements in management unless other changes are made. On the other hand, women may be more active in the production or market spheres than are men. For instance, women are typically collectors and users of natural resources but uninvolved in decision-making about how those resources are managed. Children and youth, too, are often excluded from biodiversity management decision-making, but suffer disproportionately from biodiversity loss and a dwindling natural resource base, leading to malnutrition, diarrheal and other diseases, as well as increased rural-to-urban migration which undermines communal and family ties for sustainable management of those resources. Interventions need to address inequality in gender and youth roles where it poses a threat to biodiversity.

At a basic level, incorporating gender and youth aspects into an activity requires disaggregated data on the roles and actions of youth, women, and men and on differential benefits and risks from a given action. Thus, households are not uniform units with a male “household head” but rather are composites of men, women, and dependents whose needs and interests must be considered independently. Operationally, USAID activities require that implementers keep track of benefits to men, women, and youth, including what opportunities which are newly opened to each cohort and where gaps and challenges still lie.

A strong focus on gender and youth is needed throughout all design aspects of this activity, including technical interventions, partnership building, and policy and governance development. Frameworks developed under this Activity should carefully consider the differentiated roles of men, women, and youth in the targeted sector to ensure that all stakeholders benefit from effective interventions and governance. This Activity’s contribution to improved conservation and economic growth in Uganda is only possible if the energies and knowledge of men, women, and youth are all engaged.

Women and youth have an important role in sustainable biodiversity management. Women play a critical role in the management of natural resources and wildlife. Investment in women percolates to families and society as a whole. Understanding their role as well as the gender dynamics that shape natural resource management is a necessity for assuring sound outcomes. For rural women, forest and biodiversity conservation can be a life and death issue centering on, for example, access to, use and management of forest and other natural resources products, food security, revenue to ensure payment of health costs, school fees, and other needs, security in entering protected areas and going to market, and health impacts of unclean water, malnutrition and loss of diversity. Recognizing women’s roles as primary land and resource managers is central to more resilient biodiversity, households and communities. Almost half of the Ugandan population is under the age of 15. As such, youth can be instrumental and capable agents of taking action to address environmental degradation and biodiversity loss. Finding segues and entry points for youth to be able to engage early in these themes will provide a foundation for future resilient and biodiversity conscious communities. In addition to the positive energies created by engaging women and youth, this Activity must assure that conservation interventions, enterprise development, and policies will benefit men, women, and youth equitably, especially as women’s decision making power is constrained.

It’s doable. Rather than despairing that cultural change is difficult and inappropriate for outsiders to address, implementers can build on many successful approaches, for instance in integrating gender into community wildlife conservancy governance dialogues, to seize entry points and develop clear lines of communication and trust with women. *Men play essential roles in advancing gender equity, women's empowerment, and youth engagement.* Skill building can enable male policymakers and practitioners to work productively with women, modeling behavior that is respectful, culturally appropriate, and empowering.

Gender and youth considerations are embedded in cultural socioeconomic contexts. Biodiversity loss affects access to education and gender equality by increasing the time spent by women and children in performing certain tasks, such as collecting valuable resources and services such as fuel, food and water. Understanding how key social categories intersect with gender and youth and accounting for the diversity of women's knowledge, roles, and lifestyles adds rigor and depth to analysis.

E.5 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 includes 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 211.3.2.b and 204 (http://www.usaid.gov/policy/ads/200/), which, in part, requires 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. Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs:

a) In addition, the recipient must comply with <u>host country environmental regulations unless otherwise directed in writing by USAID.</u> In case of conflict between host country and USAID regulations, the latter shall govern.
b) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE) or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as "approved Regulation 216 environmental documentation."

An Initial Environmental Examination (IEE), file name: Uganda_DO1_NRM Biodiversity Conservation_IEE Amend#2 _11302017, has been approved for Biodiversity for Resilience activity funding this Cooperative Agreement, which will transition to the Uganda_Resilience_ Integrated portifolio_IEE, currently under development, when approved. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that a **NEGATIVE WITH CONDITIONS DETERMINATION** applies to 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 solicitation.

As part of its initial work plan, and all annual performance reports (including annual work plans) thereafter, the recipient, in collaboration with the USAID Agreement Officer's Representative and

Mission Environmental Officer or Bureau Environmental Officer as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

The recipient will be responsible for periodic reporting to the USAID Agreement Officer's Representative, as specified in the Schedule/Program Description of this solicitation.
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 on-going activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is written and approved by USAID.

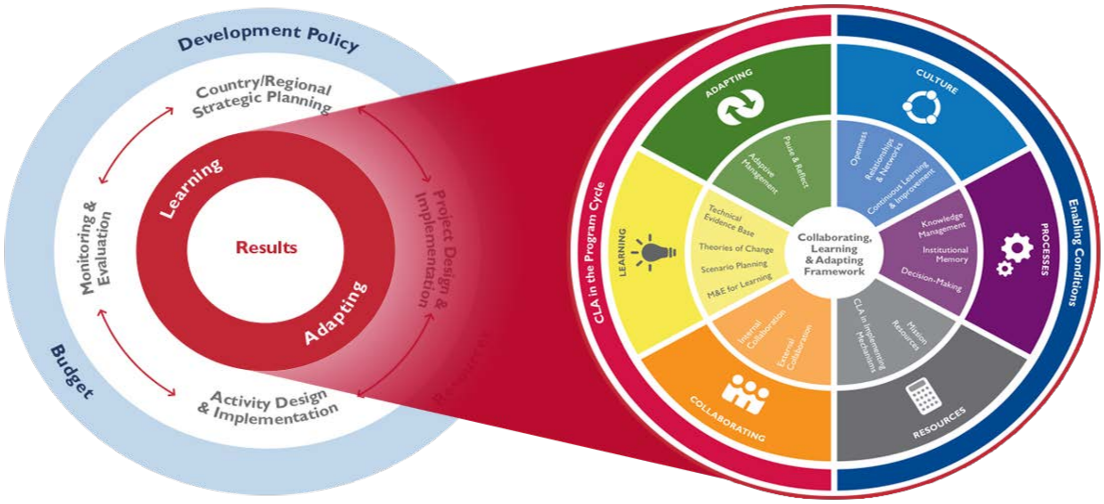
Cost and technical applications must reflect environmental documentation preparation costs and approaches where applicable. This shall include costs towards the preparation of an environmental mitigation and monitoring plan (EMMP) during the post award stage. The recipient will be expected to comply with all conditions specified in the approved IEE.

USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents should therefore include as part of their application their approach to achieving **environmental compliance and management,** to include:

a. The respondent's approach to developing and implementing an EMMP.
b. The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
c. The respondent's illustrative budget for implementing the environmental compliance activities /EMMP. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost application.

E.6 Collaborating, Learning and Adapting (CLA)

Development work presents many opportunities to collaborate and engage with a broad set of stakeholders, to learn from both evidence and experience and to adapt iteratively to unexpected results or changes in context. This is why USAID places "Collaborating, Learning and Adapting" at the center of its Program Cycle, both as a connector between and an integral part of the components.



Collaborating

Collaboration enables cross-sector integration, convergence, and effective interventions to maximize development resources and enhance development results. The Recipient shall collaborate with USAID-supported activities in common regions of operation and engage with stakeholders (defined collaboratively with USAID AOR) to deliver integrated services to target populations. Periodic planning, coordination and learning-focused meetings with other USAID implementing partners and key stakeholders (e.g., UWA, NFA, conservancy management bodies) will support this Activity's implementation and help determine adaptive, coordinated approaches to biodiversity conservation.

USAID anticipates that this Activity will work with USG partners as detailed in Section E.1.

Learning

Learning is intentional, systematic and resourced. Sources for learning include data from monitoring, portfolio reviews, findings of research, evaluations, analyses conducted by USAID or third parties, knowledge gained from experience, stocktaking exercises, learning reviews and other sources. Those documents produced by USAID will be shared with the Recipient by the AOR for consideration in the learning phase of CLA.

These sources shall be used to develop and implement plans, manage adaptively, and contribute to the USAID/Uganda knowledge base in order to improve development outcomes. A collaborating, learning, and adapting focus helps to ensure that programming is coordinated, grounded in evidence, and adjusted as necessary to remain relevant and effective throughout implementation.

Knowledge generated by learning should be applied throughout programming to implementation approaches, processes, and stakeholder engagement. Knowledge generated by learning should also be disseminated to activity stakeholders, partners, and collaborators in an appropriate forum and format so that it may be translated into decisions and actions that enhance the success of approaches and interventions designed to achieve common intermediate results.

The Recipient shall share information and knowledge generated by monitoring data, portfolio review results, research findings, evaluations, analyses, and experiences with USAID implementing partners. Recipients shall apply actionable information and knowledge gained from collaborating partners to implementation to improve results.

USAID implementing partners shall convene on a periodic basis to reflect on actions taken, exchange analysis, and pending decisions that affect implementation.

Adapting

The Recipient shall demonstrate adaptability that is informed by knowledge gained through learning and recognize behaviors and incentives necessary to create change. Knowledge gained through learning shall influence decision making, resource allocation, and adaptation to contextual shifts. Application of new knowledge to implementation decisions should be reflected in the Annual Work Plan and AMELP. Decisions to adapt may be based on, but not limited to the following:

- Extraneous changes in the operating environment (i.e. emergency or natural disaster; national policy changes)
- Financial and human resource constraints
- Evidence that targets are unmet
- Emerging evidence that interventions are not working or could work better if adapted

Any changes to the scope of the Agreement must be approved by the Cognizant Agreement Officer in a modification to the Agreement.

CLA is envisioned as a pathway to build a learning organization and cultivate learning practices, at the Activity team level, but also across USAID/Uganda portfolios and with the GoU, private sector, and other key stakeholders. These types of action-learning, monitoring and program reflection methods are now well documented. Some of these include participatory methods such as stakeholder feedback, be it local scorecards or mobile applications, network analysis that can reveal informational flows and relational dynamics of ‘who decides and who benefits’ and making program adjustments based on findings, or variations of outcome mapping and other methods of monitoring, action-research and otherwise generating faster, responsive program feedback to foster more practical, problem-derivative adaption.

F. Climate Risk Management

Per the Mandatory Reference for ADS Chapter 201 Climate Risk Management for Projects and Activities (10/15/2017), a tailored climate risk analysis was done to support new conservation-related project and activity planning and design. The report, entitled “Climate Risks to Conservation in Uganda” (embedded in IEE-Attachment C), built upon climate risk information from the 2013 Climate Change Vulnerability

Assessment for Uganda's agriculture sector by assessing the vulnerability of biodiversity to climate change in USAID-targeted protected areas and their surrounding landscapes. The report identified climate risks in these landscapes and to the people living in and around them. This linkage is critical as communities and households in these areas rely heavily on the natural resources and ecosystem services provided by these landscapes and climate change impacts that affect one will affect the other either directly or indirectly. Key findings and recommendations are summarized below.

- Climate change is one of many stressors, and is often not the most immediate, affecting biodiversity in Uganda. However, non-climate stressors are being exacerbated by climate factors and indirectly increasing risks to biodiversity. Overall addressing non-climate stressors should be prioritized in investment decisions.
- Based on trend data, climate risks to biodiversity, livelihoods and ecosystem services appear significant, especially in the dry cattle corridor and mountainous areas and should be prioritized in investments in these areas.
- The primary direct climate stressors for biodiversity are higher temperatures, more erratic rainfall and increased frequency of extreme weather events.
- Increased intensity and spread of fires present the most pronounced indirect impact on biodiversity. Resulting changes in species composition, movement and distribution as well as the increased spread of invasive species impact the habitat quality in protected areas.
- Significant gaps in climate change knowledge and adaptation responses to climate change for biodiversity exist. Investment should include climate-smart protected area, buffer area and conservancy management practices. Weather based-information services for livestock holders and others should be promoted to improve climate-resilient management techniques. Land use planning and forest management efforts should include investments in catchment management to counter reduced water flows to catchments as a result of climate change.

Because climate variability and change may halt or reverse the sustainability of traditional biodiversity conservation actions unless addressed, the proposed technical approach should incorporate site-specific recommendations to reduce climate vulnerability.

G. Authorizing Legislation

This activity is authorized in accordance with the Foreign Assistance Act of 1961. Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 2 CFR 200, 2 CFR 700, applicable OMB Circulars and Standard Provisions for Non-Governmental Organizations.

2 CFR 200 / 2 CFR 700 is applicable to an award to a U.S. organization made under this RFA.

(a) All provisions of 2 CFR 200 / 2 CFR 700 and all Standard Provisions attached to this agreement are applicable to the recipient and to sub recipients which meet the definition of "Recipient" in Part 200, unless a section specifically excludes a sub recipient from coverage. The Recipient shall assure that sub recipients have copies of all the attached standard provisions.

(b) For any sub awards made with Non-US sub recipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees."

(c) For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.; For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.; The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site: http://www.usaid.gov/policy/ads/300/303.pdfz

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Section B. FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide $15million in total USAID funding for the award. USAID reserves the right to fund any one or none of the applications submitted.

2. Start Date and Period of Performance for Federal Award

The period of performance anticipated herein is the date of the Agreement Officer's signature of the award. The entire period of performance is anticipated to be five (5) years from the effective date of award.

3. Award Type and Substantial Involvement

USAID anticipates the award to be a Cooperative Agreement. Per guidance in the Automated Directive System (ADS) 303.3.11 to ensure the achievement of the program objectives, substantial involvement is required during the administration of this award. USAID's substantial involvement during the implementation of this Agreement must be limited to the elements listed below:

a. Approval of the Recipient's Implementation Plans:

If at the time of award, the program description does not establish a timeline in sufficient detail for the planned achievement of milestones or outputs, USAID may delay approval of the recipient's implementation plan for a later date. Implementation plans include, but are not limited to, annual work plans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, event planning/management, international meeting preparation.

USAID requires the approval of implementation plans to ensure alignment with stated goals, milestones and outputs. The implementation plan communicates how and when the recipient will complete project activities and is drafted annually to describe new activities. The AOR's review will ensure that the implementation plans fit within the scope, terms and conditions of the agreement.

b. Approval of Specified Key Personnel:

USAID may designate as key personnel only those positions that are essential to the successful implementation of the recipient's program. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

All key personnel must demonstrate strong project and personnel management skills; innovation, system approaches, and flexibility in technical practice and/or management; the ability to collaborate effectively with a wide range of stakeholders; and strong oral and written communication skills in English. Individually and collectively, proposed key personnel must show evidence of strong skills for building collaborative relationships with donors, host country governments, the private sector, research institutions, and local and international development implementers.

For this activity USAID determines the following four (4) key personnel are essential for the successful implementation and achievement of activity results:

1. Chief of Party,
2. Biodiversity Advisor,
3. Private Sector Engagement/Business Development Advisor and
4. Finance and Operations Manager.

Qualifications for each of the four key personnel is listed below.

A. Chief of Party (COP): (100% level of effort)

The COP shall be responsible for all reporting to USAID and is expected to play a lead role in realization of project's results and interacting with key implementation actors and other development partners.

Required qualifications:

- Demonstrated expertise and at least 10 years professional experience working on development programs. Direct experience working in Africa is strongly preferred. Of the 10 years' experience, at least 5 years of work experience should be as COP/Senior Program Manager or an equivalent position managing complex development activities of similar size and scope, preferably within an African context. Experience working on community-based natural resource management, natural resource governance, land tenure, biodiversity, and/or conservation enterprise programs strongly preferred.

Desired qualifications:

- A Master's degree in a relevant field or a Bachelor's degree in a relevant field with a minimum of 7 years' experience (in addition to the 10 years' experience listed above) for those without Master's Degree
- Demonstrated effectiveness in strategic thinking and policy analysis and able to dialogue with local communities, host country governments, and the private sector.

B. Biodiversity Advisor (100% level of effort)

The Biodiversity Advisor serves as the principal advisor to the COP on all matters related to best practices in biodiversity conservation including ensuring that the activity activities are in line with USAID's Biodiversity Policy. The Biodiversity Advisor will ensure that activity activities and locations are chosen to have the most positive impact on the conservation of Uganda's wildlife and forest biodiversity.

Required qualifications:

- Minimum of 10 years of regional/international experience in biodiversity programs. Preference will be given to those with considerable working experience in wildlife conservation areas and/or Africa.

Desired qualifications:

- A Master's degree in a relevant field or a Bachelor's degree in a relevant field with a minimum of 7 years' experience in addition to the 10 years' experience above.
- Demonstrated success in implementing programs aimed at protecting biodiversity in developing countries, including interventions targeted at wildlife and forestry management.

- Demonstrated knowledge of the latest developments in advancing good/best practices in biodiversity that reaches women, youth, the poor, and very poor.

C. Private Sector Engagement/Business Development Advisor (100% level of effort)

The Private Sector Engagement/Business Development Advisor serves as the principal advisor to the COP on conservation enterprises, private sector engagement, market linkages, business development, and small enterprise development. The Private Sector Engagement/Business Development Advisor provides technical leadership for activities that cover identification of potential products and services, value addition, quality assurance, and linkages to broader markets for conservation friendly products and services. The Private Sector Engagement/Business Development Advisor works closely with protected area managers, communities adjacent to protected areas, conservancy governance and business management bodies, entrepreneurs, investors, relevant partners and the GOU to enhance and engage private sector development and investment in targeted field sites.

Required qualifications:

- Minimum of 10 years of regional/international experience in economic growth, enterprise development, trade, or private sector development programs. Preference will be given to those with considerable working experience in Africa and/or with conservation enterprise programs including in ecotourism.

Desired qualifications:

- A Master's degree in a relevant field or a Bachelor's degree in a relevant field with a minimum of 7 years' experience in addition to the 10 years' experience above.
- Demonstrated success in implementing programs aimed at developing conservation enterprise value chains for local economic development in developing countries.
- Demonstrated knowledge of the latest developments in advancing good/best practices in enterprise development that reaches all stakeholders, including the women, youth, the poor and very poor.

D. Finance and Operations Director (100% level of effort)

The Director of Financial Management and Operations will oversee operations for all Activity offices in Uganda. This includes oversight of sub-awards, logistics, human resources, accounting and finance, and records. This individual will be responsible for managing the budget and preparing financial reports for submission to USAID. S/he will ensure funds expended are compliant with USG regulations and policies. She/he will implement fraud mitigation practices and ensure systems and processes are implemented effectively to support implementation of the award.

Required qualifications:

- Master's degree in accounting, business administration, or a related field, with a minimum of five (5) years of experience in managing, increasing roles of responsibility, and extensive professional experience in finance, operations/administration, logistics and/or human resource related matters for international development activities of similar scope and size of this Activity.

OR

- Bachelor's Degree in accounting, business administration, or a related field; with a minimum of ten (10) years of experience in managing, increasing roles of responsibility, and extensive professional experience in finance, operations/administration, logistics and/or human resource related matters for international development activities of similar scope and size of this Activity.

AND

- Professional certification (e.g. CPA, ACCA, or equivalent) with a minimum of five (5) years of experience in managing, increasing roles of responsibility, and extensive professional experience in finance, operations/administration, logistics and/or human resource related matters for international development activities of similar scope and size of this Activity.
- Demonstrated supervisory experience
- Familiarity with USG financial reporting and compliance requirements
- Experience in managing donor-funded grants of similar scope and size of this Activity
- Experience in risk management and implementation of internal controls.

NOTE: USAID reserves the right to determine relevance of education and experience.

c. Agency and Recipient Collaboration or Joint Participation:

When the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the AO may authorize the collaboration or joint participation of USAID and the recipient on the program. There should be sufficient reason for USAID involvement and the involvement should be specifically tailored to support identified elements in the program description.

(1) Collaborative involvement in selection of advisory committee members:

If the Activity establishes an advisory committee that provides advice to the recipient, USAID will participate as a member of this committee. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) Concurrence on the substantive provisions of sub-awards:

The recipient must obtain AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. The term 'sub-awards' includes both sub-agreements and contracts under assistance.

Please note that any sub-awards (sub-agreements or contracts) to foreign governmental organizations or parastatals of any amount must be approved by the AO, and may warrant additional clearances in accordance with ADS 303.3.21.b. & c.

(3) Approval of recipient's monitoring and evaluation plans:

This describes USAID involvement in monitoring progress toward the achievement of program objectives during the performance of the project, including written guidelines for the content of annual reports and final evaluations.

During the initial project planning period, the awardee will work closely with USAID to establish major milestones, program monitoring indicators, as well as baseline data and performance targets which will demonstrate successful achievement of the results addressed in the cooperative agreement.

(4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects:

Activities will be included in the program description, negotiated in the budget, and made part of the award.

Note: the AOR will provide review of the proposed change, and the AO is the only individual who can provide approval for this element of substantial involvement.

d. Agency Authority to Immediately Halt a Construction Activity

Construction is not eligible for reimbursement under this award.

4. Title To Property

Property title under the resultant agreement will vest with the cooperating country in accordance with the Requirements of 2 CFR 200.312 -Federally-owned and exempt property.

For Non US Non-Government Organizations, ADS Standard provision - Title to and Use of Property (December 2014) **-** title to all Property financed under this award vests in the recipient upon acquisition unless otherwise specified in this award; applies.

5. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is **935** (any area or country including the recipient country, but excluding any country that is a prohibited source).

6. Sub-Grants and Programmatic Contracts

Applicants shall propose how they employ sub-grants and programmatic contracts to best meet the program's objectives and expected results; and propose draft eligibility and selection criteria.

7. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the USAID/Uganda Biodiversity for Resilience Activity which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

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Section C. ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligibility for this NOFO is not restricted. USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this NOFO, any U.S. or non-U.S. organizations, non-profit, or for-profit entity is eligible to apply.

USAID/Uganda welcomes applications from all organizations, including organizations that have not previously received financial assistance from USAID.

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

USAID has established a cost share of 3% of the projected award amount for the recipient of the award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. Cost Sharing, once accepted, becomes a condition of payment of the federal share. The proposed cost share (cash and/or in-kind contributions) will be monitored in accordance with 2 CFR 200.306 and 2 CFR 700.1. For guidance on cost sharing in grants and cooperative agreements, see 2 CFR 200 and 700, and ADS 303.3.10. Cost Share contributions will be tracked according to obligated amounts during implementation of the award.

NOTE: The 3% cost share will be in addition to the total estimated budget of $15million for this NOFO.

3. Limitations on number of applications

The number of applications an applicant may submit under this NOFO is limited to **one** and this limitation is on both the submitting organization and individual investigator/program director. USAID/Uganda will not consider any application in excess of this limitation.

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Section D. APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Name: Mohammad Kamal Ayub, Agreement Officer
Address: USAID/Uganda US Embassy Compound Plot 1577, Ggaba Road Kampala, Uganda
Email: KampalaUSAIDSolicita@usaid.gov

2. Questions and Answers

All questions regarding this NOFO should be submitted in writing to the individual/s and Email address provided above.

Questions regarding this NOFO should be submitted to KampalaUSAIDSolicita@usaid.gov no later than the date and time indicated on the cover letter, as amended, to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

3. General Content and Form of Application Submission

NOTE: Electronic Submission of Applications via E-mail is required compatible with MS WORD, MS Excel or PDF (Portable Document File) format in Microsoft Windows. Applicants must provide applications in compatible MS Word (or PDF with Optical Character Recognition) and budgets as text accessible, Excel spreadsheets.

There has been a problem with the receipt of *.zip files due to the anti-virus software. APPLICANTS MUST NOT SUBMIT ZIPPED FILES.

Applicants are expected to review, understand, and comply with all aspects of the NOFO.

Please submit your applications to the email address below and by the date as stated on the cover page. **Paper copies of the applications are not accepted**. The address for the receipt of applications is: KampalaUSAIDSolicita@USAID.gov, to the attention of Mohammad Kamal Ayub, Agreement Officer Applications do not follow the instructions contained herein run the risk of not being considered in the review process.

Each Applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) Applications. The Technical Application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the

alternate contact person (by name, title, organization, mailing address, telephone number and email address);

- Program name;
- Notice of Funding Opportunity number;
- Date of Application;
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.
- DUNS and Unique Entity Identifier number for primary applicant;
- System for Award Management (SAM) registration status.

Applications signed by an agent on behalf of the Applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- The Application must be written in English.
- Use English Times New Roman, 11 pt., Single Spacing, MS Word and PDF (Adobe Acrobat) versions on standard 8 1/2" x 11" paper (210 mm by 297 mm paper), each page numbered consecutively and no less than 1" margins on all sides left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and Applicant's name.
- Footnotes, graphs, and tables will be included in the page limit requirement. Non narrative items such as graphics and tables may have smaller font, but not less than 9 point.
- The Application must be submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant's discretion, however, the official cost application submission is the unlocked Excel version.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

4. Preparation of Applications Submission Procedures

Each Applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts (a) Technical Application and (b) Cost/Business Application.

Please note that Technical and Cost Applications must be kept separate.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2". All emails must also contain the NOFO number in the subject line.

USAID’s preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, applications will be submitted via email with up to 10 attachments (4MB limit) per email.

Applicants are encouraged to provide clear instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant must be accompanied by evidence of that agent’s authority, unless that evidence has been previously furnished to the issuing office.

It is the Applicant’s responsibility to ensure that all necessary documentation is complete and received on time. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

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 purpose, should mark the title page with the following legend:

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Application 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 obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert sheet numbers] and, mark each sheet of data it wished to restrict with the following legend:

“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

Applicants should retain for their records one copy of the application and all enclosures which accompany their application.

5. Technical Application Format

The technical application should be specific, complete and presented concisely. The application should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

The Technical Application should be in English Times New Roman, 11 pt., Single Spacing, MS Word and PDF (Adobe Acrobat) versions on standard 8 1/2" x 11" paper (210 mm by 297 mm paper), each page numbered consecutively and no less than 1" margins on all sides. Footnotes, graphs, and tables will be included in the page limit requirement. Non narrative items such as graphics and tables may have smaller font, but not less than 9 point. In case of any conflicts between the MS Word and pdf versions of the application, the pdf version will govern as it will be the version presented to the Technical Evaluation Panel.

Applicants are advised that any pages exceeding any of the prescribed limits below will not be considered for evaluation.

The Technical Application (**maximum 31 pages includes cover sheet, table of contents, acronym, executive summary, Section 5.iv and Section 5.v and excludes annexes**) should clearly and concisely outline how the Applicant proposes to meet the critical needs identified in the objective(s) and how the Applicant will achieve its expected results.

The Technical Application shall include the following sections:

i. **Cover Sheet (not to exceed one page and is part of the 31 page limitation for the Technical Application).** See cover page requirements in Section D.3 above.

ii. **Table of contents and acronym list (not to exceed three pages and is part of the 31 page limitation for the Technical Application).**

iii. **Executive Summary (not to exceed two pages and is part of the 31 page limitation for the technical application).**

iv. **Technical Approach (not to exceed 15 pages)**

The Technical Approach must address the following:

The Technical approach must describe the Applicant's approach, methodologies and activities to achieve the Activity objectives as described in the Program Description. The Applicant should not merely repeat what is already described in the Program Description, but should describe how they propose to achieve the program's goals and results, detailing the strategic approach and methodology planned and including illustrative activities for each result. The Applicant shall demonstrate an in-depth understanding of the context, operating environment and articulate a realistic, feasible, innovative, cost-effective, and adaptable approach to achieving the activity's goal and outcomes, as detailed in the Program Description, while including – but not limited to cross-cutting requirements and guiding principles mentioned within the Program Description.

The Applicant must include a theory of change to illustrate this approach. The theory of change should describe how proposed interventions are expected to achieve the end-of-program goals, including a discussion of the logic and assumptions about why the proposed interventions will lead to those expected results.

The Applicant should introduce and reference the following Technical Approach annexes. The annexes must be submitted in the order noted below but are described here as they will be evaluated as part of the Technical Approach. The Annexes do not count towards the Technical Application page limit.

- Annex 1: Theory of Change Diagram (limited to one [1] page and must be in PDF format)
- Annex 2: Start Up Plan (limited to five [5] pages). The Start Up Plan further articulates the Applicant's approach for developing a strong First Year Implementation Plan. The Applicant shall describe what analyses and evidence are needed, what stakeholders will need to be involved, and what systems will be in place for collaboration, including collaboration with other USAID-funded Activities.
- Annex 3: Approach to the AMELP (limited to five [5] pages). The Approach to the AMELP should lay out the Applicant's approach to adaptive management, and identify key learning questions and indicators that will monitor progress towards achieving expected results. The Approach to the AMELP should lay out considerations for cost effectiveness of data collection, effectiveness for managing the activity, and alignment with the principles of adaptive management. The development of the full AMELP will be informed and supported by the consultative start-up workshop after award.

v. Personnel, Staffing & Management Plan (not to exceed 10 pages)

Applicants must describe how the proposed management approach, staffing plan and key personnel shall contribute towards achieving the objectives and results described in the Program Description, while including, but not limited to, cross-cutting requirements and guiding principles mentioned within the Program Description. The Applicant must describe how the proposed personnel and staffing plan, for both home office support and field office support (including core non-key personnel) will: ensure maximum effectiveness in implementing the technical approach and achieving the expected results, project expectations and scale; maintain accountability for programming; and describe how each of the key personnel meet the requirements set forth in Section B.

The Applicant must describe and justify their proposed management plan that should demonstrate the capacity and experience of the Applicant to start up in a timely fashion; describe the plan for collaboration and coordination with other USAID-funded activities and development partners; and must explain how the management and implementation plan will fulfill the programmatic and operational requirements of the Activity, including - but not limited to - project development, awards management, technical assistance, procurement, financial oversight, and project administration and how the proposed strategies/approaches will ensure fraud, waste and abuse mitigation. The Applicant must also describe an effective plan for managing and using sub-awards in partnership with private capital to achieve planned outcomes.

The Applicant shall submit the following annexes to the Personal, Staffing and Management Plan. The annexes must be submitted in the order noted below and as described here. They will be evaluated as part of the Personal, Staffing and Management Plan.

- Annex 4: Resumes of Key Personnel (each resume must not exceed 2 pages). The applicant must include resumes of all proposed Key Personnel. Resumes must be in chronological order starting with the most recent experience. Resumes must clearly demonstrate how the proposed key personnel meet the minimum requirements described in Section B. Resumes for all 4 key personnel must include three past performance references with up-to-date telephone numbers and email contact information. References can be submitted on an additional page that will not be considered as part of the 3 page limit for Resumes/CVs. Please note that documentation that reflects an "exclusive" relationship or agreement between an individual and an Applicant is not requested and should not be submitted.

- Annex 5: Key Personnel letters of commitment.(not to exceed 1 page per Key Personnel)
- Annex 6: Organizational Chart (limited to one (1) page). The Applicant shall submit an organizational chart showing lines of reporting among long term team members, demonstrate the relationship between the Applicant and the other offices and partners (e.g. Applicant's Headquarters office, USAID, consortium partners, etc.).
- Annex 7: Staffing Plan: This staffing plan must show title and names (names of those other than Key Personnel are not required) that will form part of the Applicant's team.
- Annex 8: Sub-Award Management Plan (limited to 3 pages). The plan should show the use of grants in flexible, strategic and cost-effective ways to buy down risk, stimulate private sector engagement, promote innovative practices and technologies, and stimulate learning and adaptation for ensuring results.

NOTE: No additional annexes will be accepted.

6. Business (Cost) Application

The Business (Cost) Application must be submitted separately 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. There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NOFO is not desired. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the Applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severely liable for the acts or omissions of the other.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The Business (Cost) Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

a) Cover Page (See Section D.3 above for requirements)

b) SF 424 Form(s)

The Applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

Instructions for SF-424	https://www.grants.gov/web/grants/forms/sf-424-family.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	https://www.grants.gov/web/grants/forms/sf-424-family.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	https://www.grants.gov/web/grants/forms/sf-424-family.html
Assurances (SF-424B)	https://www.grants.gov/web/grants/forms/sf-424-family.html

Failure to accurately complete these forms could result in the rejection of the application.

c) Required Certifications, Assurances, Representations, and Other Statements of the Recipient

The Applicant must complete the following documents and submit a signed copy with their business (cost) application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf. In the event that Representations and Certifications are not submitted with the Application; they must be completed before final award is made.

(2) Assurances for Non-Construction Programs (SF-424B)

(3) Evidence of responsibility the Agreement Officer can use to determine that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

(4) Statutory and Regulation Certifications

The Applicant must complete the certifications in Section D.6.c) Required Certifications and sign and date in the signature space provided for both the prime and each of its proposed partners. The signed and dated printout must then be submitted with the application as an annex to the cost application. Applicant must also complete and submit the certification in Section D.6.c for each of its proposed sub-applicants as an annex to the cost application. Signed copy of the certifications will be requested from the successful applicant prior to the agreement award.

d) Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. **Applicants should not submit the information below with their applications! The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:**
The information submitted should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.

2. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.

e) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the proposed cost. Files must not contain any hidden or otherwise inaccessible cells. <u>Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application.</u> The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The Applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, and should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.) to support USAID's determination that the proposed costs are fair and reasonable. The required budget format is found in Attachment A of this RFA. Note: Cost Line Items are indicative & should therefore be adjusted as appropriate/applicable. Applicants should add rows that will cater for the proposed costs under each CLIN

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category as the budget template and by year for activities implemented by the Applicant and any potential sub-applicants for the entire period of the program.
- Summary Budgets - separate tab for the prime Applicant, with separate tabs for each sub-awardee/sub-recipient. Applicants who intend to utilize contractors or sub-awardees/sub-recipients should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the

primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

- Detailed Budget, including a breakdown by year of all costs associated with the program, if applicable, headquarters, regional and/or country offices, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the Applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding, broken out by budget category and by year, for the entire implementation period of the project.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) **Salaries and Allowances** – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The Applicant's budget must include position title, salary rate, level of effort in days, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the Applicant. Applicants must provide their established written policies on personnel compensation. If the Applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

2) **Fringe Benefits** – (if applicable) If the Applicant has a fringe benefits rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant must propose a rate and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

3) **Travel and Transportation** – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the Applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) **Equipment & Supplies**– Must include information on estimated types of equipment, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the equipment leased.

5) **Supplies** – Supplies include all tangible personal property other than those described as Equipment. Provide information on types of supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the supplies and the basis for the estimates for determining cost allowability and reasonableness.

6) **Subawards** – This may include costs for all sub-awards/contracts. Specify the budget for the portion of the program to be passed through to any sub recipients or contracts including Consultants. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a sub recipient or contractor.

The sub recipient budgets must align with the same requirements as the Applicant's budget, including those related to fringe and indirect costs. Note: This does not imply that the prime applicant and each sub-recipient must follow the same indirect cost structure. Note: Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or subaward (see 2 CFR 200.92 Subaward), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work. The cost principles do not address profit or fee; A profit or fee under a grant is not a cost but is an amount in excess of actual allowable direct and indirect costs. A fee cannot be paid by a recipient to a consortium participant, including a for-profit organization. However, a fee (profit) may be paid to a contractor/vendor providing routine commercial goods or services under a grant in accordance with normal commercial practice.

7) **Construction –** Not Applicable

8) **Other Direct Costs** –This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the Applicant. The Applicant should indicate the subject, venue and duration of any proposed trainings, workshops, conferences and seminars, and their relationship to the objectives of the program, along with detailed estimates of costs. The Applicant should include resources for an initial start-up workshop that includes USAID staff and relevant partners to guide development of the First Year Implementation and MEL plans. Annual pause-and-reflect sessions and joint work planning sessions with other USAID implementing partners should be reflected in the cost applications. USAID/Uganda plans to conduct a performance evaluation that assesses if our conservation enterprises are leading to positive biodiversity outcomes (biophysical change). This Activity should plan for funding to prepare for and participate in the evaluation.

9) **Indirect Costs** – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only
Eligibility: Any Applicant
Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any Applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the Applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID's Indirect Cost Rate Guide for Non Profit Organizations for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

Eligibility: Any Applicant that has never received a NICRA
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The Applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

If the Applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the Applicant's requested method.

f) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the Applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the Applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

f) Approval of Subawards in accordance with ADS 303.3.21

The Applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the Applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the sub-recipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the sub-recipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the sub-recipient is not listed in the United Nations Security designation list
- Confirmation that the sub-recipient is not suspended or debarred
- Confirmation that the Applicant has completed a risk assessment of the sub-recipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the Applicant's plan for mitigation.

g) Dun and Bradstreet and SAM Requirements

USAID **may not** award to an Applicant unless the Applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each Applicant (unless the Applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid DUNS number for the Applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov).

3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin the process early. If an Applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the Applicant is not qualified to receive an award and use that determination as a basis for making an award to another Applicant.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Non-U.S. Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on www.sam.gov, navigate to Help, then to International Registrants.

h) History of Performance: Past Performance References and Information

Information required for Applicant's mandatory risk assessment in accordance with ADS 303.3.9 and 2 CFR 200.205 and determination of responsibility by the Agreement Officer.

The Applicant must provide for itself and each major sub-awardee information regarding their recent history of performance for not more than five (5) ,(i.e., not more than five past performance information for the prime and not more than five past performance information for each major sub-awardee) of the most recent and relevant cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed past 3 years as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last 3 years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the Applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The Applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an Applicant's history of performance from any sources and may consider such information in its review of the Applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

The applicant must provide past performance; information for itself and each major sub awardee (whose proposed cost equals 20% or more of the applicant's total proposed cost or any sub awardee, which will have principle responsibility for implementing one or more of the program components/deliverables or results area regardless of dollar value) in accordance with the following:

Applicants must provide for each of the contracts/grants listed the following information regarding its past or current performance: (1) a brief description of the work performed and key project accomplishments/results achieved to date; (2) primary performance location of work; (3) contract amount; (4) name of the technical contact person and (5) current telephone number and email address of responsible representative from the organization for which the work was performed and (6) beginning and end dates (with specification of whether the work was being done as a prime or a sub). Applicants/sub awardees must either provide this information or affirmatively state that it possesses no information directly relevant to similar past performance.

The Government reserves the right to verify the experience and past performance record of cited projects or other recent projects by reviewing Contractor Performance Assessment Reports (CPAR's), other performance reports, or to interview cited references or other persons knowledgeable of the Applicant's performance on a particular project. The Government may check any or all cited references to verify supplied information and/or to assess reference satisfaction with performance. References may be asked to comment on items such as: Quality of Product or Service, Cost Control, Timeliness of Performance, Customer Satisfaction, and Key Personnel, non-discrimination in the delivery of services. The Agreement Officer may also consult other resources and references not provided by the applicant related to the applicant's past performance.

Applicants should use the format provided in Attachment B: Past Performance Information of the NOFO to document the detailed information as requested. The completed forms should be included as an annex to the cost application. The same form should be used to report Past Performance Information for Major subawards.

i) Funding Restrictions

USAID policy is not to award profit under assistance instruments. Therefore, profit is not allowable for recipients or sub-recipients under this award. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a sub recipient or contractor.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

j) Pre-Award Terms

1) Branding Strategy – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

b. The request for a Branding Strategy, by the Agreement Officer from the Applicant, confers no rights to the Applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the Applicant ineligible for an award.

d. The Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

(i) USAID requires the Applicant to use the "USAID Identity," comprised of the USAID logo and brand mark, with the tagline "from the American people" as found on the USAID Web site at http://www.usaid.gov/branding, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

(ii) USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.

(iii) It is acceptable to cobrand the title with the USAID Identity and the Applicant's identity.

(iv) If branding in the above manner is inappropriate or not possible, the Applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the Applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the Applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the Applicant's cost data submissions, and the performance plan.

f. If the Applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PRE-AWARD TERM)

2) Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brand mark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://www.usaid.gov/branding. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the Applicant, confers no rights to the Applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the Applicant ineligible for an award.

d. The Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the Applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the Applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the Applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the Applicant will use to mark the program deliverables;

(iii) When in the performance period the Applicant will mark the program deliverables, and where the Applicant will place the marking;

(iv) What program deliverables the Applicant does not plan to mark with the USAID Identity, and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the
exemption would apply. The Applicant may request an exemption if USAID marking requirements
would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The Applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The Applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The Applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The Applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The Applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms or be considered inappropriate. The Applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The Applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the Applicant's cost data submissions, and the performance plan.

g. If the Applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

3) Conflict of Interest Pre-Award Term

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an Applicant organization or an employee of the organization has a relationship with an 8 Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The Applicant must provide conflict of interest disclosures when it submits an SF-424. Should the Applicant discover a previously undisclosed conflict of interest after submitting the application, the Applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest: The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an Applicant or the Applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an Applicant or Applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the Applicant.

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Section E. APPLICATION REVIEW INFORMATION

1. Overview

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the 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 must organize the narrative sections of their applications with the same headings and in the same order as the selection criteria. Please note that, per USAID policy, all criteria listed below will consider the Applicant's consideration of the role of gender and climate risk mitigation in all program activities.

2. Merit Review

The criteria by which the Applications will be assessed are as follows in descending order of importance. Criterion A is more important than Criterion B. Sub-criteria are in equal order of importance within each main criterion.

Criterion A: Technical Approach
The Technical Approach will be evaluated based upon:

- The Applicant's ability to demonstrate understanding of the context, operating environment and appropriateness of the proposed approach, methodologies and activities to achieving the activity's goal and outcomes, as detailed in the Program Description while including – but not limited to - cross-cutting requirements and guiding principles mentioned within the Program Description.

- The clarity and appropriateness (given the theory of change) of the Start Up Plan for considering what knowledge and preparation are needed to develop a strong work plan, including the necessary analyses, evidence, stakeholders, and systems for collaboration. The Applicant's Approach to the AMELP will be evaluated based on the appropriateness of indicators for measuring outcomes (including intermediate outcomes and outputs) and results, as well as considerations for cost effectiveness of data collection, effectiveness for managing the activity, and alignment with principles of adaptive management.

Criterion B: Organizational Capacity and Management Structure

The Applicant's Personnel, Staffing and Management Plan will be evaluated based on:

- The Applicant's ability to describe how the proposed personnel and staffing plan, for both home office support and field office support (including core non-key personnel), will: ensure maximum effectiveness in implementing the technical approach and achieving the expected results, project expectations and scale; maintain accountability for programming; and describe how each of the key personnel meet the requirements set forth in Section D.

- The Applicant's ability to describe and justify their proposed management approach that demonstrates the technical breadth and ability to adaptively manage the program, capacity and experience of the Applicant to start up in a timely fashion; to describe the plan for collaboration and coordination with other USAID-funded activities, development partners, and the private sector; to provide detail into how sub awards will be managed to optimize effectiveness; and to explain how the management and implementation plan will fulfill the programmatic and operational requirements of the Activity, including, but not limited to, project development, awards management, technical assistance, procurement, financial oversight, and project administration as related to the Organizational Chart and how the proposed strategies/approaches will ensure fraud, waste, and abuse mitigation.

3. Business (Cost) Review

Note: Cost applications of Applicants with technical scores of Marginal and/or unsatisfactory will not be evaluated.

The AO will review the apparently successful applicant's budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. This will consist of a review of the cost application budget breakdown; and evaluate and analyze specific elements of costs for reasonableness and allocability of costs in the budget, and allowability of the costs under the applicable cost principles found in 2 CFR 200 Subpart E.

4. Pre-award Risk Assessment

In accordance with ADS 303.3.9 the AO will perform a risk assessment (2 CFR 200.205) of the apparently successful applicant(s).

Past performance reviews will be initiated of the "apparent successful applicant" as part of the applicant's risk assessment and responsibility determination. The Selection Committee chair will validate the applicant's past performance reference information based on existing evaluations to the maximum extent possible, and may contact all references to verify or corroborate the following:

- How well an applicant performed,
- The relevancy of the work performed under the program,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant problems, and
- Any indications of excellent or exceptional performance in the most critical areas.

USAID reserves the right to obtain past performance information from other sources including those not named in the applicant's application. Past performance references will not be checked for applicants that receive an 'Unsatisfactory' rating.

If a criteria found in ADS 303.3.9.1 applies to the apparently successful applicant, the AO is required to perform a formal pre-award survey in conformance with that provision before making a risk assessment decision.

Depending on the result of the risk assessment, the AO may either decide to make the award, not execute the award, or award with "specific conditions" (2 CFR 200.207).

5. Cost share is an eligibility requirement.

Applicant's that do not meet the minimum 3% cost share requirements are not eligible for award consideration and their application will not be evaluated.

6. Review and Selection Process

A Selection Committee shall review the programmatic merits of the applications. However, the AO makes the final selection.

7. Anticipated Announcement and Award Dates

USAID/Uganda anticipates award on or about mid December 2019.

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Section F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for the award.

USAID may notify the apparently successful Applicant of their recommendation for funding, but only a signed and executed award will constitute an obligation by USAID to reimburse any costs incurred in the performance and implementation of a project/program. The signed and executed award(s) will be e-mailed to the apparently **successful** Applicant.

The Agreement Officer is the only individual who may legally obligate USAID to the expenditure of public funds. The Agreement Officer may authorize pre-award costs in accordance with 2 CFR 200.209, but such pre-award costs will be incurred at the Applicant's sole risk in the event the award is not signed by the Agreement Officer, or is less than the amount proposed by the apparently successful Applicant.

USAID will notify all unsuccessful Applicants that will not be considered for award explaining briefly why USAID did not select their application. Requests for additional information will not be considered from unsuccessful applicants.

2. Administrative & National Policy Requirements

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 200, 2 CFR 700, and ADS 303maa Standard Provisions for U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at:
https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 (https://www.usaid.gov/sites/default/files/documents/1868/303.pdf) of USAID's Automated Directives System (ADS-303), 2 CFR 200, 2 CFR 700, and ADS 303mab Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf

2 CFR 200: http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

2 CFR 700 is available at: http://www.ecfr.gov/cgi-bin/text-idx?SID=74c9b031753603ccb31812ebb90e203a&tpl=/ecfrbrowse/Title02/2cfr700_main_02.tpl

Applicable OMB Circulars are available at: http://www.whitehouse.gov/omb/circulars_default

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS 308.5.15. ADS 308 is available at: https://www.usaid.gov/sites/default/files/documents/1868/308.pdf

Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

3. Special Provisions

The following special provisions may be made part of the resulting award.

3.1 Geographic Information Systems (GIS)

There are three types of geographic data that the Mission would like to collect in a standardized manner:

1. **Project and Activity Location Data:** In consultation with the AOR, project and activity location data when utilized should be submitted according to the geographic precision defined by the Mission's data requirements. Capturing a discrete location for project and activity locations is an essential step towards establishing an effective method of managing and communicating project and activity information.
2. **Thematic Data:** This includes information such as demographic indicators, built infrastructure, environmental features, and any other thematic data. When created or acquired using USAID funds, these datasets are considered the property of USAID and when utilized should be submitted to the AOR.
3. **Project Specific Data:** This includes data that is created during a project and may be useful to the Mission's own strategic planning and design purposes. When created or acquired using USAID funds, these datasets are considered USAID's property and when utilized should be submitted to USAID.

Recording a discrete location for project and activity locations is essential in establishing an effective method of managing, analyzing, and communicating project and activity information.
The Recipient will work closely with the AOR to determine necessary information to collect, which may include:

- Type of activity
- Estimated cost of activity
- Photograph of activity
- Location of activity
    - Point features (latitude, longitude) such as public institutions with hand washing facilities, etc.
    - Area features (polygon) such as boundaries
- Location, including name of the village
- District name for activity location
- Facility type (home, school, health facilities, etc.)

Geographic Data should be projected to the Geographic Coordinate System World Geodetic System 1984 (GCS WGS 1984). All data should use the World Geodetic System 1984 (WGS 1984) datum.

The location and activity specific data would be recorded and managed by the Grantee. It would be submitted to the AOR and GIS Specialist in any of the following formats: .CSV file, MS Excel spreadsheet, MS Access database, or GIS-ready shapefile (.shp)/geodatabase.

As defined in the USAID Policy Framework (2011-2015), USAID is committed to geographically targeting aid investments, monitoring & evaluating overall aid effectiveness, and upholding the Agency's open data and transparency goals. Utilizing GIS technology, geographic data and analysis is integral to effectively achieving all of these objectives. Geospatial analysis is a top priority of the USAID/Uganda to be incorporated into the learning agenda and M&E work to build resilience. In alignment with the US Government commitment to transparency and open data, as well as with USAID Data Policy (ADS 579), geographical data collected and the resulting maps produced as part of this program will be shared with the affected communities, district local governments, and the general public. All efforts will be made to protect Personally Identifiable Information (PII).

[End of Provision]

3.2 Value Added Tax and Customs Duties

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the recipient and by non-local subcontractors/sub recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not permit tax exemption at the point of sale.

Therefore, the recipient must budget and bill USAID for expenses inclusive of 18% VAT.

The recipient must submit original VAT tax invoices/receipts, original certified summary (using a format provided by USAID) and 1 copy of all documents to USAID by the 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.

USAID will seek a VAT refund from the Government of Uganda. The refund will not be returned to the recipient.

The recipient is responsible for ensuring that subcontractors, sub awardees, and grantees comply with this requirement. All VAT claims, for the recipient, subcontractors, sub awardees and grantees, must be submitted to USAID through the prime Contractor.

The USAID point of contact for submission of quarterly VAT information is kampalavatusaid@usaid.gov Office of Financial Management, USAID/Uganda.

[End of Provision]

3.3 Utilization of Science, Innovation, Technology, and Partnership (SITP) for Collaboration

The recipient is strongly encouraged to utilize science, innovation, technology, and partnership (SITP) to:

- Do business differently to enhance the lives of Ugandan beneficiaries and share best practices;
- Integrate change management practices to allow for program adaptation and realignment;
- Utilize project management tools/software for enhanced partnership and synergy with USAID and other programs and allow for reporting on multiple funding streams.

[End of Provision]

3.4 Procurement Executive's Bulletin No. 2014-06: Electronic Payments System

Definitions: "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

"Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, sub recipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

   a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
   b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
   c. Cash payments to vendors below $3000, when payment through an electronic payment system is not reasonably available.
   d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at http://solutionscenter.nethope.org/programs/c2etoolkit."

[End of Provision]

3.5 Non-Discrimination in Implementation of USAID-Funded Programs

In the implementation of USAID-funded programs, the Recipient or Sub Recipient shall not discriminate against any beneficiary or potential beneficiary, such as but not limited to, by capriciously or selectively withholding or denying assistance or benefits under the project, on the basis of any non-merit factor, including one or more of the following bases: race, color, religion, sex (including gender identity or perceived gender non-conformity, and pregnancy) national origin, disability, age, sexual orientation, genetic information, marital status, parental status, political affiliation, veteran's status, or other factors that adversely impact the beneficiaries' access to, or participation in, services provided under the award. Nothing in this provision is intended to limit the ability of a Recipient to target assistance to certain populations as defined in the approved work plan of a USAID-funded program.

[End of Provision]

3.6 Acquisition & Assistance Policy Directive No: 14-03: Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (AUGUST 2014)

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1)Was "convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2)Has any "unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures that this further action is not necessary to protect the interests of the Government".

For the purposes of section 7073, it is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

[End of Provision]

3.7 Program Income

Program Income is not anticipated to be generated under this award. If generated, program income earned during the Activity's period of performance must be added to the total program amount and used to further eligible objectives for the Activity. In accordance with 2 CFR 200.307(e) Program income that the recipient did not anticipate at the time of the Federal award must be used to reduce the Federal award and recipient contributions rather than to increase the funds committed to the project.

3.8 Environmental soundness and compliance

The activity environmental compliance obligations under the FAA Sec 117 and 22 CFR 216 regulations and procedures are specified in Section A.E.5 of this NOFO.

4. Reporting Requirements and Compliance

The types and frequency of financial and programmatic reports must be strictly limited to those detailed in 2 CFR 200.

This award follows the U.S. Government fiscal year for reporting, which runs from October 1 to September 30. References to quarters or years in reporting relates to the U.S. Government calendar below:

Quarter 1: October 1 – December 31
Quarter 2: January 1 – March 31

Quarter 3: April 1 – June 30
Quarter 4: July 1- September 30

The Recipient(s) will submit the following documents to the AOR electronically within the time period noted/specified in the award. Reports will be timed and formatted so that they can provide USAID with useful information needed for the reporting requirements.

4.1 Branding & Marking:

It is a Federal statutory and regulatory requirement (Section 641, Foreign Assistance Act of 1961, as amended and 2 CFR 700.16) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity.

The Agreement Officer will review and approve the apparently successful applicant's Branding Strategy and Marking Plan (including any requests for exceptions), consistent with the provisions "Branding Strategy," "Marking Plan," contained in ADS 303mba, Pre-Award Terms, and "Marking and Public Communications Under USAID-funded Assistance" contained in ADS 303maa, Standard Provisions for U.S. Nongovernmental Recipients and ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations, 2 CFR 700.16, and ADS 320, Branding and Marking Plan. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the Implementing Partner's cost data submissions; with the Implementing Partner's actual project, activity, or program performance plan; and with the regulatory requirements of 2 CFR 700.16.

Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.

4.2 Start-up Workshop

Within 90 days post-award the Recipient will hold a consultative workshop that includes USAID staff and relevant partners to guide development of the First Year Implementation Plan, refine activity results chains, and guide the development of the MEL plan. The workshop will also serve to define format and requirements for deliverables and reporting. The objective of the workshop is to provide a dedicated forum for the activity consortium, USAID staff and other relevant partners to collaborate to refine the submitted technical approach, theory of change, and MEL Plan.

4.3 First Year and Annual Implementation Plans (Work Plan)

Based on this program description and the start-up workshop, the Recipient shall prepare and submit a detailed first year implementation plan to assess the starting situation, refine the suggested technical approach, identify new approaches required to achieve the activity's targets, and guide the first year implementation, budgeting, and timelines. Additionally, the first-year implementation plan should include an analysis on gender, youth, and social inclusion, a needs assessment, baselines to set benchmarks for tracking achievements, a preliminary private sector landscape assessment, and any plans for political economy analysis. A draft of the first year implementation plan should be submitted within 90 calendar days after the award date, and the fully developed plan is due within 120 days of the award date.

For each subsequent year, the Recipient shall prepare and submit a detailed annual work plan at the beginning of each fiscal year to guide the implementation process with a breakdown of activities and timelines and anticipated progress in the achievement of the activity results (consistent with the Activity

M&E and Learning Plan), as well as the associated costs. The Annual Implementation Plan shall also include a sustainability plan for how and when sub-partners and beneficiaries will sustain their work following the duration of the award.

The Recipient shall ensure a collaborative process in work plan development, consulting beneficiaries, other implementing partners, USAID and other relevant stakeholders in preparing the annual work plan to ensure complementarity and shared ownership. In addition, the AOR may work with the Recipient to define particularly relevant sections of the work plan that would enhance implementation, such as key assumptions and risks (as well as plans to mitigate and update these), lessons learned, and work plan adjustments going forward.

CLA section must address:

- Any proposed actions to strategically collaborate internally and with other implementing partners to conduct joint targeting, collaborative research, etc.
- How knowledge gaps in the theory of change, the technical implementation approach, operating environments, assumptions and risks, will be filled using activities such as, but not limited to, monitoring, research, evaluation and analytical studies
- How knowledge generated by learning will be used to increase efficiency
- How/which approaches and activities will change based on CLA

4.4 Activity Monitoring Evaluation and Learning Plan (AMELP):

The AMELP is a management tool that enables the Recipient and USAID to track whether the desired results are being achieved and project implementation is being adapted to changing conditions. This will also facilitate the flow of information within the Recipients' organizational structure, enabling all parties to more effectively monitor and manage activities required. The system will be designed to collect, store, analyze and report administrative, financial and programmatic data on project major inputs and outputs as well as actual progress toward achieving program objectives. With the overall supervision of the Program Office M&E Specialist and the Office M&E Specialist, the Recipient will work closely with the Mission Contractor responsible for the collection and analysis of USAID data.

Embedded in the AMELP is the Collaboration, Learning, and Adapting Plan, which explains how the Applicant will approach strategic collaboration with partners; fill knowledge gaps in the theory of change (e.g. research agenda); seize opportunities to reflect on progress; use knowledge, including political economy analysis, to adapt accordingly; and resource and facilitate the process of collaboration, learning, and adapting.

The AMELP report will include:

- All performance indicators with targets and baseline figures needed to measure achievement of stated goals and results the Recipient believes to be necessary to adequately track progress and impact of activities;
- Data analysis methodologies, including suggestions for data segregation by district, segregated, gender, and others;
- How the activity will collaborate with data collection and M&E activities of other USG implementing partners, USAID/Uganda Learning Contract, and other national surveillance systems to avoid duplication in data collection and analysis;
- Propose clear milestones and indicators for measuring sustainability of supported interventions;
- Dedicate a section of the M&E plan to describing how the Recipient will use lessons generated during the course of activity implementation or operations research results to further inform planning and implementation of activities, including scaling up successful interventions and modifying or discontinuing those interventions that are not working;

- Use Geographical Information Systems (GIS) to map the location of all beneficiaries and activity sites in order to enhance analysis and interpretation of activity results; and
- A clear learning agenda and platform for integrating CLA in assessment, planning, implementation and monitoring;

A schedule of weekly meetings with AOR and how agreed actions (if any) from the weekly check-in meetings will be integrated into activity implementations. The full AMELP will be informed by the consultative start-up workshop.

4.5 Quarterly Performance Reports

The Recipient shall submit quarterly reports no later than 30 days after the end of each fiscal quarter. Each quarterly performance report shall include narratives of quarterly achievements, and progress against the work plan, and agreed upon performance indicators. A format for the quarterly report will be approved by the AOR. The quarterly report shall describe and assess the overall progress to date based upon agreed performance indicators. The reports shall also describe the accomplishments of the Recipient and the progress made during the past quarter; include information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, subcontracts, and grants).

The quarterly performance reports should provide information on how considerations for gender and youth were addressed; what new opportunities for social inclusion were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender/youth inequalities emerged or remained. Recipients shall notify USAID of developments that have a significant impact on the award-supported activities.

The quarterly performance report provides the opportunity to discuss the impacts of learning on the program, updates in key assumptions and the underlying development hypotheses. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award or which may have an impact on the development hypothesis or theory of change for the activity, and/or other activities (USG-funded or not) which might be informed by such learning. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation. The Recipient shall also prepare quarterly financial reports showing the amount of funding and level of effort spent and accrued during the quarter, cumulative spending, and estimates for the next quarter. The quarterly activity and financial reports are to be submitted within 30 days after the end of each fiscal quarter to the AOR at USAID/Uganda.

The quarterly report will also include GIS data when relevant. Text and specific information to include will be identified with the AOR and in consultation with the program office as needed.

With regards to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly
- Increased ability of USAID implementing partner to respond to the needs of target groups, such as women and youth, through adaptive learning
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts
- Increased efficiency in activity implementation

4.6 Annual Pause-and-Reflect Sessions (APR):

Annual pause and reflect (APR) sessions will precede and inform the development of the annual implementation plan and annual performance report and will form the basis for a management review conducted by USAID and program staff to assess program directions, priorities, achievements, and prior year implementation results, as well as management and implementation impediments, and to make recommendations for revisions. The format, participation and final output of the APR will be defined through consultation with the AOR and can entail a series of internal meetings, a multi-day workshop, or a brief report to summarize learning and major conclusions about the effectiveness of the actions and strategic approaches to achieve the activity objectives and overall purpose. The APR may be used to suggest refinements or updates to the activity theory of change, MEL plan, and subsequent annual implementation plan.

4.7 Annual Performance Report:

Annual performance reports on the project activities and progress against indicators are the responsibility of the Recipient and are needed by USAID/Uganda to provide timely input to the USG's Operational Plan. To the extent possible, the annual performance report should cover activities and results through the end of the fiscal year and should review the cumulative experience, learning, adaptations, and the implications of these for the year. Reporting against standard and mission customer indicators is a key component of this report. The draft annual performance reports must be received by USAID 30 days after the end of the year and in final no later than 90 days after the end of the year. With regards to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly
- Increased ability of USAID implementing partner to respond to the needs of target groups by using learning
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts
- Increased efficiency in activity implementation

4.8 Final Performance Report:

A draft final report should be submitted to the AOR no later than 45 calendar days before the completion of the activity. The final report is due 1 week before the end of the award. Three copies should be submitted to the AOR. The report shall summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation, as well as key learnings from the total implementation experience. In addition the report should specifically address how the activity addressed considerations for gender and youth; the extent to which gaps between males and females were closed; what new opportunities for social inclusion men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender/youth inequalities emerged or remained. It shall cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories (or challenges), and detailed financial information. It should be grounded in evidence and data. The final/completion report shall also contain an index of all reports and information products produced under the award.

4.9 Other Reports:

The Recipient will prepare and disseminate, as directed in the Annual Work Plan and by the AOR, other reports and deliverables needed to accomplish the purpose of this award, such as assessments, activity reports; technical reports; data quality assessment reports, portfolio review and performance plan and report analytical products, evaluation, review and other operational research reports. The reports required and the number of copies will be determined at the time of the Annual Work plan.

4.10 Annual Certification for Human Trafficking:

The recipient must submit to the Agreement Officer, the annual "Certification regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013" as required prior to this award, and must implement a compliance plan to prevent the activities described above in section (a) of the provision (Schedule C, Mandatory Standard Provisions "TRAFFICKING IN PERSONS (April 2016)"). The recipient must provide a copy of the compliance plan to the Agreement Officer upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace.

The first Certification should be submitted at the start of award. The concurrent certifications should be submitted within 30 calendar days following the end of each fiscal year. The draft certificate is accessible at the link below:
https://www.usaid.gov/sites/default/files/documents/1866/USAID_Trafficking_Persons_Annual_Certification.pdf

4.11 Close-Out and Disposition Plan:

Close-out and disposition plan in accordance with 2 CFR 200.343 and 2 CFR 200.313, 2 CFR 200.314 and 2 CFR 200.315 will be submitted six months before the activity end date for USAID approval.

The plan should include but not be limited to:

- Dates for final delivery of all goods and services for grants;
- A property disposition plan for the Recipient, sub-recipients where applicable in accordance with government regulations reviewed by the AOR and approved by the Agreement Officer;
- Review of award and/or grant files for audit purposes and final billing to USAID;
- A schedule to address office leases, bank accounts, utilities, cell phones, personnel
- notification, health insurance, outstanding travel, social payments, household shipments,
- severance for local staff (if appropriate), vehicle leases/disposition, phone subscriptions;
- Receipt of all final invoices and grant performance reports;
- Report use of funds not required for the completion of the award;
- Report on compliance with all local labor laws, tax clearances, etc.

4.12 Quarterly VAT Reports:

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the Recipient and by non-local subcontractors/sub-recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not permit tax exemption at the point of sale. Therefore, the Recipient must budget and bill USAID for expenses inclusive of 18% VAT.

The Recipient must submit original VAT tax invoices/receipts, original certified summary (using a format provided by USAID) and 1 copy of all documents to USAID by the 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.

USAID will seek a VAT refund from the Government of Uganda. The refund will not be returned to the

Recipient.

The Recipient is responsible for ensuring that subcontractors, sub awardees, and grantees comply with this requirement. All VAT claims, for the Recipient, subcontractors, sub awardees and grantees, must be submitted to USAID through the prime Contractor.

The USAID point of contact for submission of quarterly VAT information is kampalavatusaid@usaid.gov Office of Financial Management, USAID/Uganda.

4.13 Financial Reporting:

Financial reporting requirements will be in accordance with 2 CFR 200.327. The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format completed by the Recipient and emailed to the Agreement Officer Representative (AOR) and KampalaUSAIDVouchers@usaid.gov.

Accrual reports must be submitted at least 3 weeks before the end of each quarter or as requested on an ad hoc basis. The Recipient must also submit a copy of the Federal Financial Report (FFR) to the Agreement Officer's Representative (AOR). For non-U.S. Nongovernmental Organizations that cannot use a Letter of Credit (LOC), financial reporting requirements will be in accordance with the procedures set forth in: Standard Provision "Advance Payment and Refunds (December 2014) or Standard Provision "Reimbursement Payment and Refunds (December 2014)"

Quarterly Financial Reports shall include a report on expenditures incurred during the report period and activity projected expenditures for the next quarter, against award line items. Reports should breakout funds by funding stream and budget-line.

The Final Financial Report will be submitted within 90 days from the end date of the award.

Reports are due as noted below:

Reporting Quarter	**SF-425 Due Date**
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

4.14 Other Reports:

The Recipient will prepare and disseminate, as directed in the Annual Implementation Plan and by the AOR, other reports and deliverables needed to accomplish the purpose of this award, such as assessments, including but not limited to, gender and youth assessments, studies, and other analytical products. These reports will include activity reports; technical reports; data quality assessment reports, portfolio review and performance plan and report analytical products, evaluation, review and other operational research reports. The reports required and the number of copies will be determined at the time of the Annual Implementation Plan.

4.15 Synopsis of Reports / Plans

Reports and Deliverables	**Due Date**	**Distribution**
Start-up workshop	Within 90 calendar days after award to inform activity theory of change, implementation plan and AMELP.	AOR
Implementation Plan (Work Plan)	A draft First Year Implementation Plan due no later than 90 calendar days after effective date of the award. (note: The First Year Implementation Plan should go from activity start date through the end of the next fiscal year so may be longer or shorter than 12 months depending on the time of the award.)	AOR
	A fully developed First Year Implementation Plan due no later than 120 calendar days after award.	
	Subsequent Annual Implementation Plan due no later than September 1st of each calendar year.	
Environmental Mitigation and Monitoring plan (EMMP)	[See Section A, E.9] Along with Annual Implementation Work plan	AOR, MEO
Activity Monitoring Evaluation and Learning Plan (AMELP)	Final due no later than 150 calendar days after effective date of the award	AOR
Quarterly Performance Reports	No later than 30 days after the end of each fiscal quarter	AOR
	Reporting Quarter **Report Due Date**	
	October 1 – December 31 January 30	
	January 1 – March 31 April 30	
	April 1 – June 30 July 30	
	July 1 – September 30 October 30	
Annual Pause-and-Reflect Sessions	To precede the Implementation Plan and Annual Performance Report	AOR
Financial Reporting	Accrual reports - 3 weeks before end of each quarter or as requested on an ad hoc basis, Quarterly Financial Reports - 45 days after the end of each calendar quarter	AOR
Final Financial Report	Due not later than 90 days from the end date of the award.	AOR & Controller
Quarterly VAT Reports	Due on 25th of the month after the calendar year quarter end	AOR & Controller
Annual VAT Reports	Due 30 calendar days following the end of the fiscal year AOR & Controller	AOR & Controller

Reports and Deliverables	Due Date	Distribution
Annual Performance Report	Draft report due September 30th of each year	AOR
	Final Report due November 30th of each year	AOR
Annual Certification for Human Trafficking	The first Certification should be submitted at the start of award. The concurrent certifications should be submitted within 30 calendar days following the end of each fiscal year.	AO, AOR
Close-Out and Disposition Plan	Due no later than six months before the activity end date	AO, AOR
Draft Final Performance Report	Draft due no later than 45 days before the end of the award	AOR
Final Performance Report	Due no later than 1 week before the end of the award	AOR

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Section G. FEDERAL AWARDING AGENCY CONTACT(S)

Point of Contact Information:

Only the Agreement Officer is authorized to make commitments on behalf of USAID. The Agreement Officer is listed below:

Mohammad Kamal Ayub
Agreement Officer
USAID/Uganda
US Embassy Compound
Plot 1577, Ggaba Road
Kampala, Uganda

Generic Email: KampalaUSAIDSolicita@usaid.gov

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Section H. OTHER INFORMATION

1. Other Information

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally obligate U.S. Government funding. Any award(s) and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Proprietary Data

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 purpose, should mark the cover page with the following:

> "This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. 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 {insert sheet numbers}."

Additionally, the Applicant must mark each sheet of data it wishes to restrict with the following:

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

2. List of Annexes

Annex A: Standard Provisions
Annex B: List of Acronyms
Annex C: Alignment with CDCS Results Framework

3. Other Resources

SAM: Quick Start Guide for New Grantee Registration
https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

SAM: Quick Start Guide for International Registrants
https://www.sam.gov/SAM/transcript/Quick_Guide_for_International_Entity_Registration.pdf

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Section I. ATTACHMENTS AND RESOURCES LINKS

Attachment A	Budget Template (attached separately)
Attachment B	Past Performance Information (attached separately)
Attachment C	IEE (attached separately)
Resource Link 1	USAID Uganda Country Development Cooperation Strategy (CDCS) 2.0 Guiding Principles https://www.usaid.gov/uganda/cdcs
Resource Link 2	USAID Gender Policy https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf
Resource Link 3	USAID Youth Development Policy http://blog.usaid.gov/2012/11/new-usaid-policy-on-youth-in-development
Resource Link 4	Standard Provisions for Non-U.S. NGOs https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf
Resource Link 5	Standard Provisions for U.S. NGOs https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf
Resource Link 6	Allowable USG Funding Support for GOU Entities and Staff https://www.usaid.gov/sites/default/files/documents/1860/J.14%20Allowable%20USG%20Funding%20Support%20for%20GOU%20Entities%20and%20Staff_0.pdf
Resource Link 7	USAID/Uganda's Regional Development Briefer (attached separately)
Resource 8	Information regarding Ongoing or soon to be awarded USAID funded activities for potential collaboration (attached separately)
Resource 9	Field Consultation Summary (attached separately)
Resource 10	Final Synthesis Report-Stakeholder Listening Session (attached separately)
Resource Link 11	Uganda's Global Food Security Strategy Country Plan https://www.feedthefuture.gov/wp-content/uploads/2018/11/Uganda_GFSS_Country_Plan_Public_Version_Final.pdf

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ANNEX A - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at: https://www.usaid.gov/ads/policy/300/303maa and https://www.usaid.gov/ads/policy/300/303mab). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)p
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
X		RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
X		RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
X		RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
X		RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
X		RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
	X	RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
X		RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
X		RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
	X	RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
	X	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)

	X	RAA20. ELIGIBILITY OF SUB-RECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
X		RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
X		RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
	X	RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
X		RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
X		RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
X		RAA7. SUBAWARDS (DECEMBER 2014)
X		RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
X		RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
	X	RAA11. PATENT RIGHTS (JUNE 2012)
X		RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
X		RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA 14. COST SHARE (JUNE 2012)
X		RAA15. PROGRAM INCOME (DECEMBER 2014)
X		RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

	X	RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUB-RECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	X	RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
	X	RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
X		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

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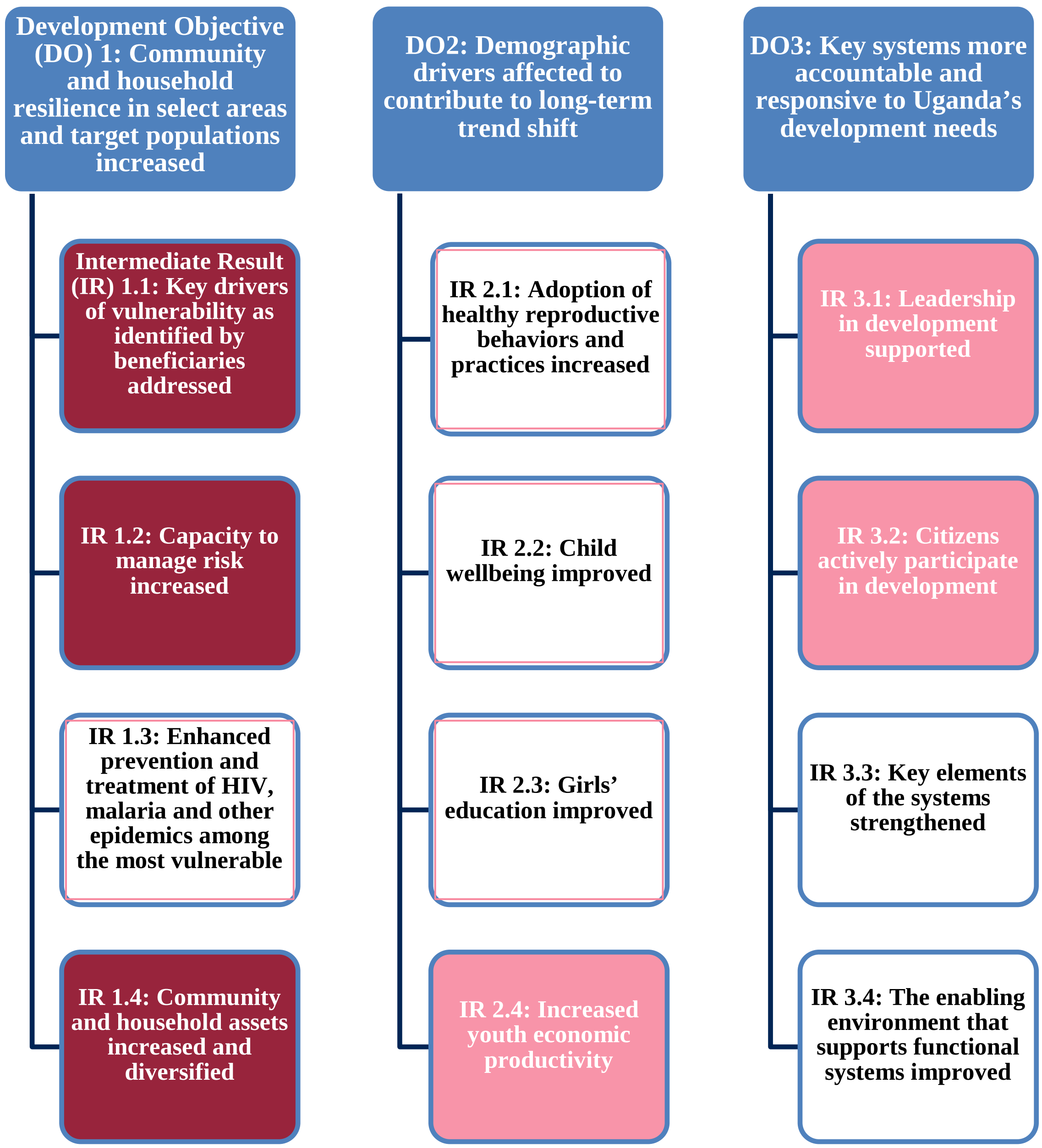
ANNEX B - LIST OF ACRONYMS

ADS	Automated Directives System
AMELP	Activity Monitoring, Evaluation and Learning Plan
AO	Agreements Officer
AOR	Agreements Officer Representative
BEO	Bureau Environmental Officer
CBNRM	Community Based Natural Resource Management
CDCS	Country Development Cooperation Strategy
CLA	Collaboration, Learning, and Adapting
COP	Chief of Party
CSR	Corporate Social Responsibility
CWC	Combating Wildlife Crime
EMMP	Environmental Mitigation and Monitoring Plan
GBV	Gender Based Violence
GDP	Gross Domestic Product
GOU	Government of Uganda
HIV	Human Immunodeficiency Virus
IEE	Initial Environment Examination
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments, and Agencies
MTWA	Ministry of Tourism, Wildlife and Antiquities
MWE	Ministry of Water and Environment
NFA	National Forestry Authority
NGO	Non-Government Organization
PAMSU	Protected Areas Management and Sustainable Use
PEA	Preliminary Economic Assessment
PRIME WEST	Productive Resource Investments for Managing the Environment in the West
RFA	Request for Applications
SSPA	Strengthening Systems and Public Accountability
STAR	Sustaining Technical and Analytic Resources
STI	Sexually Transmitted Infections
USAID	United States Agency for International Development
USG	United States Government
UWA	Uganda Wildlife Authority
WILD	Wildlife, Livelihoods and Development for Conservation

ANNEX C – ALIGNMENT WITH CDCS RESULTS FRAMEWORK

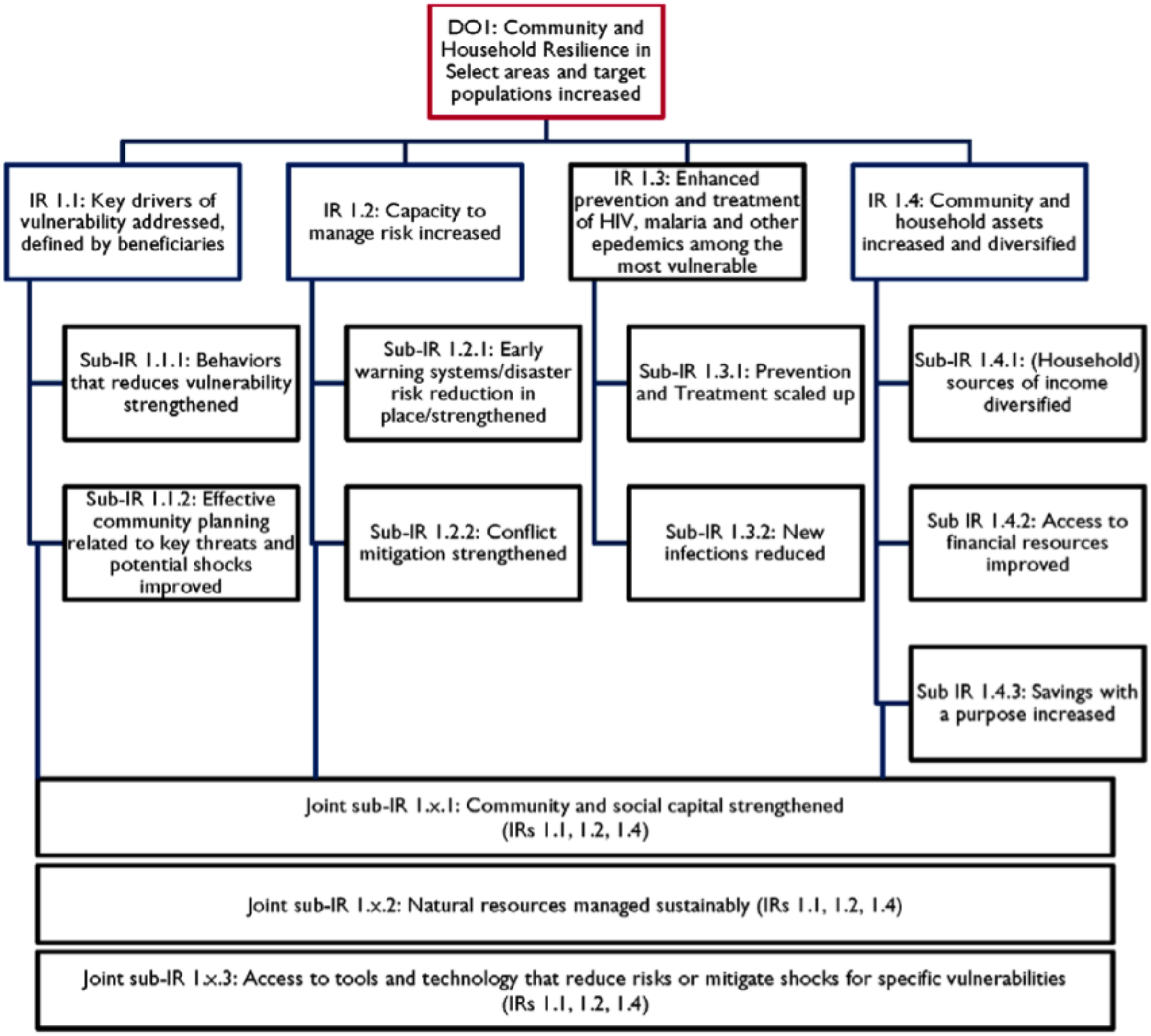
Alignment with CDCS Results Framework*[19]



[19] *Note: Boxes shaded in dark red indicate IRs to which the Biodiversity for Resilience activity will respond directly; boxes shaded in pink indicate indirect attribution; boxes outlined in pink indicate areas where USAID expects collaboration with other activities to support and enhance biodiversity outcomes.

Alignment with CDCS Results Framework (continued)

Development Objective 1: Community and Household Resilience in Select Areas and Target Population Increased this Activity supports Joint sub-IR 1.x.2: Natural resources managed sustainably



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