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Subject: Request for Full Application (RFA) Number: 72051723RFA00001

Program Title: Climate Adaptation Activity

Federal Assistance Listing Number: 98.001- USAID Foreign Assistance Programs Overseas

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified entities to implement the Climate Adaptation Activity. Eligibility for this RFA is not restricted.

USAID intends to make an award to an Applicant if it meets the objectives of this funding opportunity based on the merit review criteria described in this RFA subject to a risk assessment. Parties interested in submitting applications are encouraged to read this RFA thoroughly to understand the type of program sought, application submission requirements, and the selection process. To be eligible for award, Applicants must provide all information as required in this RFA and meet eligibility standards in Section C of this RFA.

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USAID may not award 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.6.g. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished through an amendment to this RFA.

Issuance of this RFA does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions of an application. An application is submitted at the risk of the Applicant. All preparation and submission costs are at the Applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Chadwick Mills  
Deputy Regional Agreement Officer (AO)  
Regional Office of Acquisition & Assistance (ROAA)

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## SECTION A: PROGRAM DESCRIPTION

<b>ANTICIPATED ACTIVITY NAME:</b>	Climate Adaptation Activity
<b>ANTICIPATED MECHANISM TYPE:</b>	Cooperative Agreement
<b>ANTICIPATED TOTAL BUDGET:</b>	\$10 million
<b>ANTICIPATED TIMEFRAME:</b>	5 years

### I. JUSTIFICATION

The Dominican Republic (DR) is among the countries most vulnerable to climate hazards in the world<sup>1</sup>. Intense storms often affect coastal areas and river banks, resulting in significant damages to infrastructure, natural resources, and livelihoods both in urban and rural settings. The effects of climate change have exacerbated these vulnerabilities, especially for marginalized communities and key economic sectors for the country, such as agriculture and tourism--which are both highly dependent on water security.

The United States Agency for International Development in the Dominican Republic's (USAID/DR) resilience interventions including the Climate Adaptation Activity are planned as part of USAID/DR's Border Resilience Project under USAID/DR's 2020-2025 Country Development Cooperation Strategy (CDCS). The DR-Haiti border provinces are among the poorest in the country and have the most limited access to basic services, including water, which only 37 percent of border communities have reliable access to, with water delivery service only one to two times weekly.<sup>2</sup> In the country's Pact for Water 2021-2036, which outlines the country's commitments to better manage water, the Government of the Dominican Republic (GODR) reports that systems operate inefficiently with high technical and commercial water losses of 45 to 82 percent. The Pact for Water also notes that the poorest Dominicans—those in rural areas—often have the worst access and yet pay the most as a percentage of their income for bottled water and other forms of drinking water.<sup>3</sup>

This Activity targets the DR-Haiti northern border provinces of Santiago Rodríguez, Montecristi, and Dajabón which are home to important transboundary watersheds that supply water for human consumption, irrigation, and industrial use for towns on both sides of the border. These provinces have seen the highest increase in population density and city growth relative to other provinces in the region.<sup>4</sup>

Like the rest of the border, this target area has experienced a trend of severe increases in temperatures and reduction in precipitation. Erratic shifts in weather patterns in the target region result in extended droughts, reduction of aquifer recharge and water availability, degradation of water quality, and severe agricultural losses. These effects combined have led to several millions of dollars in economic losses, the need of water rationing, and more recently the intensification of

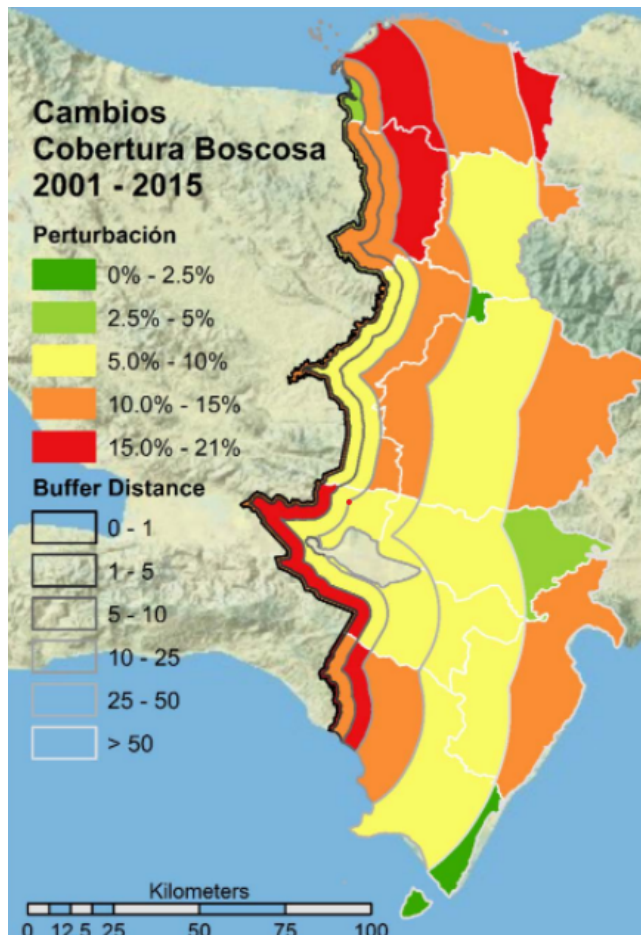
<sup>1</sup> Germanwatch. 2017, 2021. *The Long-Term Climate Risk Index (CRI)*.

<sup>2</sup> MEPyD. 2021. *Monitor de la Frontera, boletín marzo 2021, MEPyD*.  
<https://mepyd.gob.do/publicaciones/monitor-de-la-frontera-marzo-2021>

<sup>3</sup> USAID. 2022. WASH-FIN analysis of the National Survey of Household Income and Expenses, 2018 Central Bank of the Dominican Republic, <https://www.bancentral.gov.do/a/d/4796-engih-2018>

<sup>4</sup> USAID. 2018. *A Geospatial Analysis of Land Use along the Dominican Republic's Border with Haiti*. Dominican Republic.

water-related conflicts between domestic, agricultural, and industrial users<sup>5</sup>. It is worth noting that the province of Dajabon, which falls within the boundaries of the Dajabon watershed, is among



the border provinces with highest forest cover canopy loss at 15.81 percent, compared to the national rate of 7.5 percent over the past 15 years<sup>6</sup>. Furthermore, Dajabon has experienced the highest absolute increase in population (relative to the year 2000 values) and is the location of the largest free trade binational market<sup>7</sup>.

Although water for human consumption should be prioritized in water resource management plans, there are significant use and productivity issues, where much of the water is either misused, inequitably distributed, or lost due to poor storage capacity. Per the Ministry of Economy, Planning, and Development's (MEPyD) estimates, the largest consumer of water - the agricultural sector, at 82 percent of water utilization - uses traditional methods of irrigation that waste 70 percent of what it consumes.<sup>8</sup> Coupled with the challenges mentioned above, an integrated solution to water resource management is needed to ensure sustainable access to water services.

For this Activity, two critically important transboundary watersheds are considered: i) the

Figure 1 Change in Forest Cover (Cambios de Cobertura Boscosa) as a percentage of the total forest area in each area as of baseline 2001 in the Global Land Analysis and Discovery (GLAD) project (Hansen et al. 2013) data on the Global Forest Watch web portal for the DR. Buffer zones as a distance from the international border (boundaries graded from black to gray as distance increase) are merged with provincial boundaries (boundaries shown in white).

Artibonito River, the largest watershed on the island, and ii) the Dajabon (Masacre) River basin, whose headwaters are located in the Northern DR-Haiti border region. These water systems not only provide essential access to surface water and groundwater for human consumption, but are also essential to food security, and to enable hydropower

generation. These watersheds provide water to the Dominican border provinces of Elías Piña and Dajabón and their sister cities and provinces on the Haitian side. Additionally, the currently operative Peligre Dam in Haiti, and projected Joca and Dos Bocas hydropower development

<sup>5</sup> MEPyD. Unidad Asesora de Análisis Económico y Social (UAAES). (2018, January 8). Pérdidas provocadas por los fenómenos naturales entre noviembre 2016 y septiembre 2017. Dominican Republic.

<sup>6</sup> USAID. 2018. *A Geospatial Analysis of Land Use along the Dominican Republic's Border with Haiti*. Dominican Republic.

<sup>7</sup> USAID. 2018. *A Geospatial Analysis of Land Use along the Dominican Republic's Border with Haiti*. Dominican Republic.

<sup>8</sup> MEPyD. 2021. *Propuesta Compromiso Nacional Para Un Pacto Por El Agua 2021-2036*. Dominican Republic.

projects are located within the Artibonite river system. Hence, through the proposed Activity, USAID will support climate adaptation actions at the watershed level in either the Artibonito River watershed or the Dajabón River watershed.

A diversity of direct drivers of deforestation and forest degradation are common in the target area, including population growth, unsustainable agriculture, overgrazing, illegal and unregulated wood harvesting, as well as the replacement of native tree species with timber species that are incompatible with the local ecosystems. Similarly, secondary consequences of these drivers such as increased forest fires, agricultural expansion, soil erosion on steep hillsides and other extremely vulnerable areas, have led to greater landscape degradation, downstream sedimentation, lower agricultural productivity, loss of critical habitats for biodiversity, and has limited the capacity of natural vegetation and agroecosystems to recover from droughts and extreme storms.

The Artibonito watershed includes parts of the Nalga de Maco National Park and its buffer zone, which although are under strict protection, frequently face several environmental threats such as illegal smallholder agriculture, and illegal and unregulated timber extraction. These problems are highly prevalent, especially in the buffer zones, due to limited surveillance and enforcement. Furthermore, in the Montecristi area, located in the lower slopes of the Dajabon watershed, there are large expanses of shrublands with high soil productivity, which are at high risk for unsustainable agricultural expansion.

GODR has prioritized climate change adaptation and mitigation in its development strategy and is working towards developing or updating its sectoral policies in order to address climate risk in an integrated and coordinated way. Moreover, the government has further committed to developing fiscal instruments and regulations that support the implementation of these sectoral policies, in an effort to streamline climate considerations across all sectors. In terms of preparedness and climate-responsive governance, country-level disaster risk management and climate adaptation policies either exist or are being developed, but implementation is weak due to lack of awareness, regulatory frameworks and enforcement, technical capacity, and funding.

Whereas development of climate services<sup>9</sup> and adaptation strategies are advancing, key gaps still remain in multi-hazard analysis and tailored information products for specific users and applications at the local level. In addition, the capacity to incorporate this information into decision making at the national and local levels is limited and climate services are infrequently available to rural and marginalized communities. In line with USAID's commitment to support the GODR in achieving its climate targets, the current Climate Adaptation Activity is proposed.

## **II. PURPOSE**

The purpose of the Climate Adaptation Activity is to build climate change resilience by promoting water security and sustainable livelihoods through reduced pressures on key water sources, enhanced watershed governance, and strengthened adaptation practices of vulnerable

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<sup>9</sup> Climate services provide climate information to help individuals and organizations make climate smart decisions. Climate services equip decision makers in climate-sensitive sectors with better information to help society adapt to climate variability and change. Taken directly from <https://gfcs.wmo.int/what-are-climate-services> as cited in [https://pdf.usaid.gov/pdf\\_docs/PA00XC9V.pdf](https://pdf.usaid.gov/pdf_docs/PA00XC9V.pdf)

communities. This Activity will support locally-led development and catalyze private sector engagement to promote ownership and sustainability of climate adaptation actions, and their mitigation co-benefits, in the northern border region between the Dominican Republic and Haiti.

### **III. DEVELOPMENT HYPOTHESIS**

If strong community engagement is fostered and financial opportunities are created to:

- i) Reduce pressures on key ecosystems in the Artibonito and/or Dajabon watersheds;
- ii) Implement nature-based and climate-smart adaptation solutions to strengthen water security for all users;
- iii) Strengthen governance for climate-responsive integrated watershed management and planning benefiting water users; and
- iv) Include user-informed climate services, including in critical farming, household, and industrial water-related decision-making;

THEN target communities and ecosystems will have increased water security and be more resilient to the impacts of climate change.

### **IV. RESULTS FRAMEWORK**

#### **Objective 1: Pressures on key ecosystems are reduced through sustainable forest management supporting climate change adaptation in targeted watersheds.**

The protection and sustainable management of key ecosystems, including forests and riparian floodplains are critical to ensure water security in the targeted watersheds. Unsustainable charcoal production, land clearing for annual crops, and illegal logging are considered main drivers of deforestation and forest degradation. Thus, these activities lead to water insecurity affecting both surface and groundwater sources, in terms of quantity and quality.

Acknowledging forest protection carries a strong community engagement component, efforts under Objective 1 will seek to increase community participation, including youth and women, in forest protection and restoration activities, such as: a) adopting alternative forms of cooking, such as gas stoves, to decrease the demand for fuelwoods, b) strengthening community participation in locally-led monitoring and reporting of land-clearing events and other illegal activities, and c) promoting local reforestation and source water protection efforts. Community-led forest protection and restoration initiatives will be implemented in targeted watersheds with special emphasis in protected areas, buffer zones, and steep slope forests.

To reduce charcoal and other fuelwood-related deforestation pressures on targeted ecosystems, activities will provide financial incentives and technical expertise to adopt alternative cooking systems. In parallel, interventions will build social acceptance of these alternatives and work towards strengthening the capacity of key government officials and other local stakeholders on promoting the transition to more sustainable cooking methods. Through these efforts, communities will acquire knowledge, skills and access to financial opportunities for the conversion from charcoal cooking to sustainable cooking practices.

In collaboration with the Ministry of Environment and Natural Resources, the Activity will help increase the availability of anonymous, user-friendly reporting systems connected to national forest monitoring systems and local surveillance units to report on illegal logging and land clearing. Such efforts should lead to greater social pressure or advocacy against illegal land clearing and drive citizen demand for authorities to act upon those illegal activities, hence contributing to the reduction of pressures related to land clearing on targeted ecosystems.

Objective 1 will engage with watershed councils, the Ministry of Environment and Natural Resources, and other local and transboundary actors to advance reforestation, source water protection measures and seed bank projects, cultivating cross-border collaboration with similar projects on the Haiti side while also promoting the involvement of youth, women and other vulnerable groups. These activities should lead to enhanced stakeholder coordination and increased alignment, which in turn will maximize the impact of reforestation and source water protection investments and the responsiveness of relevant entities to local needs.

**Objective 2: Climate smart practices are adopted by local farmers and the private sector, to increase resilience to the impacts of climate change.**

Unsustainable farming practices overexploit water resources and are critical drivers of land degradation, which in turn result in the extreme vulnerability to climate change for smallholder agriculture and livestock production, leading to high levels of poverty and food insecurity for local communities.

Agriculture and animal husbandry are among the main economic activities in the target watersheds, and are especially critical for subsistence farmers in the border region of the Dominican Republic. Objective 2 seeks to: a) improve the technical capacities of small- to medium-scale farmers to use water efficiently so as to adapt to climate change, b) strengthen farmers associations to better negotiate with clients and produce more and higher-quality products, and c) engage with the private sector to develop climate-resilient business models for long-term sustainability.

The Activity will promote the construction of simple, farm-level nature-based water harvesting infrastructure, such as lagoons, to improve water storage and access in the short and medium term. In the long run, water source protection, sustainable land use management, and best management practices in agriculture will result in reduced runoff, sediment and nutrient loading, and an increase in water retention and infiltration. Private sector engagement to expand this component and propose market-based solutions is encouraged.

Through this objective the Activity will promote the adoption of climate-smart agriculture and sustainable alternatives to cattle ranching. The Activity will increase the technical and financial capacity of local producers to implement climate-smart agricultural and ranching practices, improving their ability to prevent, respond and adapt to climate risks, such as addressing flood control, reducing soil degradation, diversifying crops, etc. It is expected that by implementing climate-smart practices and improving business management skills, small- and medium-scale

farmers will increase their crop yields, use natural resources more sustainably, and increase their overall income, becoming more resilient to the impacts of climate change.

Objective 2 will support farmer associations and/or cooperatives at the local level whose members already grow cash crops, such as coffee and cacao, by improving their technical, organizational, and financial capacities. Through stronger associations and cooperatives, farmers will be able to increase both the quality and the quantity of their products and increase their bargaining power with buyers interested in climate-smart products. Ultimately, as small-scale farmers gain technical abilities and start growing climate-smart cash crops, they will be better positioned to become part of these associations and in turn benefit from the association's access to bigger markets and business connections. Cost-benefit analyses are required for the development of economic activities.

Finally, Objective 2 relies on identifying private sector partners and connecting them with farmers, associations, and cooperatives to jointly develop business models that include climate considerations and promote climate-smart products, including exploring co-investment partnership opportunities with the private sector directly. This objective will build the capacity of communities to identify climate risks related to their economic activities and will strengthen engagement and partnerships with the private sector and other relevant stakeholders to support adaptation and access financing opportunities to implement these solutions. The Activity will incentivize and strengthen the capacity of private sector partners within key value chains to adapt to and mitigate climate risks in their business models and investment chains, supporting them to include climate change adaptation into core business interests. Lastly, the Activity will help identify public and private financing opportunities to fund and scale up pilot climate change adaptation productive activities.

These results should promote sustainable livelihoods and resilient value chains in the target geographic region, while reducing unsustainable agricultural and water management practices and land clearing. This will in turn promote healthy riparian forests and water sources and improve the ability of communities in the border region to adapt to the impacts of climate change while increasing their income.

Cost sharing is encouraged under this Activity. USAID shall make the final determination and assess whether or not the Applicants' cost share contributions (e.g. categories or items) meet the standards set in 2 CFR 200.

The Applicant should use USAID/DR funding as an incentive to leverage funds from other sources, which can be used to build the foundation for sustained climate resilience and rural economic development. The Applicant and its partners are expected to collaboratively establish sustainable mechanisms that promote climate resilience in key economic sectors in targeted upper watersheds. Leveraged resources, defined as financial and in-kind contributions or investments (such as equipment, training, level of effort, and any in-kind contributions), which enable the achievement of results, could include resources from joint ventures, commercial partnerships, and institutions, among other types of partnerships. Within these parameters, the Applicant is expected not only to quantify the resources leveraged which will be provided in terms of cash and in-kind

contributions, but to also explain how it will engage robustly with the private sector to achieve Objective 2.

**Objective 3: Watershed governance is strengthened to benefit water users through an integrated climate-sensitive approach.**

Effective, well-coordinated, and technically-sound watershed management is essential to provide water security and to promote health and sustainable livelihoods, thus providing multiple economic, social, cultural, and ecological benefits, while improving climate-change resilience. Guided by the country's climate change commitments<sup>10</sup> and national climate policies, the country has recently started to incorporate climate considerations in watershed plans, as well as to implement climate action to promote resilience at the community level. Objective 3 aims to develop mechanisms to better align programming and approaches to local needs, and country-level priorities. The proposed strategy includes three components: i) increasing local awareness and capacities on watershed planning and promoting water security; ii) developing socially, culturally, and technically-sound management plans; and iii) producing and launching a comprehensive plan for climate funding as part of the watershed management plans.

First, Objective 3 will seek to improve climate-resilient watershed management planning and budgeting among local authorities, at the municipal, watershed and subwatershed council levels. For example, Objective 3 will consider leveraging existing mechanisms such as the participatory municipal planning process. Water committees and water service providers are part of these councils and are in charge of ensuring that the water access needs of communities are met.

Watershed management plans are programming tools that can guide the protection, and sustainable use of water and other natural resources at the watershed-level, incorporating social, political, ecological and economical considerations. Thus, Objective 3 foresees the development of well-coordinated, and technically sound watershed management plans that can promote water security, including ensuring equitable access to water for human consumption, while supporting livelihoods. Objective 3 will emphasize the provision of the necessary technical expertise to local authorities as well as multi-level governance bodies to complete and validate watershed management plans using an integrated, climate-sensitive approach.

The Activity will support GODR coordination efforts with stakeholders, including private actors and community organizations, to properly align programming and approaches to local needs and aspirations. This way, localized and system-driven approaches will result in stronger planning processes, which in turn will promote more equitable water resource allocation and sustainable use.

The strengthening of watershed councils will also include the development of inclusion guidelines and participatory platforms through which to convene traditional and non-traditional actors including migrants, Dominicans of Haitian descent, and other vulnerable groups, thereby

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<sup>10</sup> The Dominican Republic has a National Policy for Climate Change (2016) and a National Adaptation Plan (2015) that guide climate action in the country, in addition to sector-specific plans and policies, such as the National Strategy for Adaptation to Climate Change in the Agricultural Sector (2014-2020).

increasing their participation in relevant decision-making processes. Community involvement in planning spaces through system-driven approaches that identify and include all stakeholders within the system should be at the forefront of integrated and inclusive water resource planning efforts. Activities under this objective should contribute to increasing awareness and capacity through active engagement of local stakeholders in decision-making processes and transboundary coordination to address water security challenges.

At the transboundary level, Objective 3 will focus on supporting coordination between watershed councils on both sides of the border, facilitating dialogue platforms, improving clarity around the roles and responsibilities of different actors in each country, and promoting common understanding of priorities and plans. Improved watershed governance and transboundary coordination should lead to more efficient use of resources, thereby reducing unsustainable land use and water management and increasing water resilience.

Objective 3 will advance the identification of potential funding sources for implementation of such plans, and support preparations for the early stages of implementation, as needed. For example, the Activity can explore the potential to participate in a carbon credit program (to validate, monitor, and verify carbon gains), sell credits in voluntary carbon markets, and incentivize climate-smart practices and business models.

**Objective 4: Climate services are used by local stakeholders, including farmers, water service providers, and government officials, in critical decision making to improve their water security and adapt to climate change.**

The active participation of end users on climate services, including data collection, validation and dissemination, is critically important to support optimal decision-making and climate action. Adding a focus on co-designing with users the climate information data sets and communication channels will help to ensure the information is useful for and tailored to user information needs and readily accessible to them. Objective 4 will build the capacity of water users to use hydrometeorological early warning data for early action to promote resilience.

Climate information is a powerful tool for making climate-smart decisions. The DR has made significant advances in this respect through the establishment of the Climate and Resilience Observatory and other government institutions that collect and monitor climate patterns at the national level. This objective seeks to make climate information relevant, accessible, and useful to water users, particularly farmers, water service providers and governments, for making decisions that improve their ability to adapt to climate change, mitigate risks, and achieve place-based resilience. To do this, Objective 4 will focus on improving the understanding of the climate data that already exists in the DR at the national, regional, and local levels, as well as to address data gaps and needs that must be filled to enable local decision making (i.e., what kinds of climate and weather information do farmers need to improve their livelihoods and become more resilient to climate change?; What kinds of climate and weather information do water service providers need to enhance operations and maintenance and become more resilient to climate change?).

Objective 4 will support the interpretation of data into meaningful information that best suits stakeholders' decision-making needs in the field. This includes using a participatory and locally-led approach to select the best tools for accessing climate information, while considering the socio-economic context of the Activity. Finally, Objective 4 seeks to establish public-private partnerships from the outset in order to create financial sustainability for the provision of such climate information and the necessary tools. Partnerships with universities, government entities, and NGOs can provide leverage and promote continuity beyond the Activity's timeline.

## V. GEOGRAPHIC AND POPULATION TARGETING

Consistent with USAID/DR's Country Development and Cooperation Strategy (CDCS) target geography and the regions prioritized under its Border Resilience Project, this Activity will focus on key sub-watersheds of the Dajabon and Artibonito River watersheds. **Applicants must choose to work in either one of the two watersheds** where proposed activities can maximize impact and promote the scale up of climate action. Activities must be designed at the sub-watershed level, and **Applicants must provide a strong justification for the selection of at least one sub-watershed within the selected watershed** where activities will take place to allow for scalable interventions and effective monitoring. Activities must focus in middle and upper watershed regions. Activities will be implemented on the DR side of the border, however, coordination efforts with Haiti are required.

In addressing development challenges in the DR through this Activity, interactions and linkages with Haiti must be taken into account given the interconnectedness and economic interdependence between the two countries. The DR and Haiti are active trading partners, and economic fluctuations have clear and direct transboundary impacts in both countries. Successful conservation and management of natural resources, including crucial potable water resources, requires integrated watershed management through transboundary collaboration to connect stakeholders in both countries. The Award Recipient will be expected to leverage or strengthen existing transboundary coordination mechanisms, such as watershed councils, that would help advance integrated watershed management.

When selecting implementation sites, the applications should address the success and financial, environmental, and social sustainability of the Activity. The below principles should help frame the sustainability strategies of the Activity and to aid the selection of target sub-watersheds:

- **Partnerships with GODR:** The Activity should seek commitment by GODR to improve water resource management in key transboundary watersheds. The success of the Activity will rest on a strong partnership and collaboration with GODR at the national and local levels.
- **Engagement with local communities and local organizations:** Local non-government organizations are considered as important stakeholders for the implementation of this Activity through collective action approaches. The Activity should seek commitment by communities and other stakeholders at the local level, and across both sides of the border to collectively address shared challenges related to land degradation and unsustainable natural resources management.

- **Private sector partnerships:** The Activity should identify key areas that would benefit most from private sector contributions and how these contributions help achieve Activity goals faster, cheaper, more efficiently, more inclusively and sustainably. The Activity should also assess the potential for continued financing from the private sector beyond Activity closure.
- **Integration and system-driven development:** The Activity must be able to show ability to intentionally integrate the whole system to contribute to the overall implementation success in an equitable way and through locally-led approaches.
- **Innovation and technology:** The Activity should utilize available innovative tools to improve the capacities of stakeholders, climate services, climate-smart interventions, monitoring and implementation, and engagement with communities in awareness raising and behavior change campaigns.
- **Elevating youth (aged 10-29 years) and promoting gender and social inclusion:** The Activity should take into account sensitivity towards specific needs and impact on women, youth, and vulnerable populations, including but not limited to people with disabilities, the Lesbian, Gay, Bisexual, Transexual, Queer, and Intersex (LGBTQI+) community, migrants, Dominicans of Haitian Descent, and undocumented people. Working strategies need to be culturally sensitive and appropriate to meet the needs of the target groups.
- **Focusing on impact and scale:** The Activity must work at a broader scale to successfully promote water security and climate resilience, so it is critical to take impact and scale into serious consideration.
- **Collaboration with other donors:** The Activity must explore when appropriate the potential for leveraging ongoing or recently closed initiatives funded by other donors, in addition to potential for collaboration and complementarity with USAID/Haiti and/or other USAID/DR activities along both sides of the northern border region. The Activity must engage with recently closed or ongoing initiatives that are complementary and can be leveraged.
- **Site selection:** Areas where unsustainable agriculture production and water management practices, deficient infrastructure - transportation and irrigation systems - have led to serious environmental degradation, putting at risk key economic activities and resilience capacity of communities living along the watershed.

In line with USAID/DR's CDCS, the Climate Adaptation Activity will focus on border populations and systems. Focus populations targeted should include the vulnerable, underserved, and underrepresented -- Dominicans of Haitian-descent, youth, LGBTQI+ persons, and people with disabilities, women, and socio-economically disadvantaged groups. Elevating these populations means directly addressing inequality, open government, quality and inclusive service provision, and community strengthening. Therefore, this Activity will contribute to the CDCS priority of inclusive development as it promotes the rights and inclusion of marginalized and under-represented populations and addresses the environmental, economic, and social needs of these disproportionately affected populations.

Including communities and other key stakeholders in decision-making through system-driven approaches during design and implementation will be required under this Activity. Systems targeting is based on a systems thinking approach, viewing development challenges in the context

of a network of stakeholders within a system and how they address their development challenges to meet their needs in an integrated and inclusive way. USAID’s interventions thus should be designed to impact systems in a way that promotes collective action and increases capacities and community engagement that multiply effects across the system and strengthen locally-led development.

## **VI. RISKS**

Based on the available literature and extensive consultation with key stakeholders, the following potential risks and contextual factors have been identified that could undermine the Activity’s development hypothesis.

### **PROGRAM RISKS**

**A. Risks (Objectives 1 and 2):** Target population is not ready to adopt new practices and technologies.

a. **Potential Impact:** Target population refuses or lacks interest in adopting proposed alternate ways of cooking (Objective 1); target population refuses or lacks interest in adopting climate-smart agricultural practices (Objective 2).

i. **Mitigation Measure:** (i) Identify community leaders in the area to model the behavior or new practice; (ii) Target youth as agents of change to model the behavior and new practice; and (iii) Develop an outreach or behavior change strategy based on people’s perceived barriers or drivers for the adoption of the new practices.

ii. **Mitigation Measure:** Recognizing that the proposed intervention may not be appropriate for all geographic locations, the Award Recipient must consult with beneficiaries and other stakeholders to assess the most appropriate solution within the operating context.

b. **Potential Impact:** Communities do not recognize that they should assume responsibility for their problems or contribute to addressing their development challenges, and prefer to rely on the government.

i. **Mitigation Measure:** (i) “Locally-led” solutions are generated by the communities to motivate ownership; (ii) Develop activities in a way that encourages cost-share by the communities/beneficiaries (in money or in kind) to procure seedlings and/or other inputs, thereby securing commitment and sustainable adoption of best practices.

**B. Risk (Objective 2):** Decreased interest and investment from the private sector in sustainably sourced, organic, specialized, and/or fair trade products due to market fluctuations, or low or poor quality yield.

a. **Potential Impact:** Lack of demand for climate smart agricultural products due to potential higher prices.

i. **Mitigation Measure:** Shift programmatic focus initially towards the public sector to create an enabling environment that incentivizes the private sector’s interest.

- ii. **Mitigation Measure:** Include the private sector at the onset of program implementation to understand their challenges and business models, and gain their buy in.
- iii. **Mitigation Measure:** Connect farmers with credible certification and labeling systems to create, sustain, and grow this demand.
- iv. **Mitigation Measure:** Work with International Financing Institutions (IFIs), Development Finance Corporation (DFC), and local banks or cooperatives, to ensure favorable terms on loans, insurance, and financial products.

**C. Risks (Objectives 3 and 4):** Lack of interest from local or watershed level authorities to act upon or get truly involved in watershed management efforts. Additional risks include potential high staff turnover that occurs in most governments which can result in delays or periods of inactivity.

- a. **Potential Impact:** Climate risk considerations, adaptation tools, approaches, and commitments are not supported at higher governing levels (district, national, etc).
  - i. **Mitigation Measure:** Foster dialogue (consensus-building) with key stakeholders e.g. government organizations and the private sector to ensure strong buy-in upfront.
  - ii. **Mitigation Measure:** MOUs at higher governing levels provide understanding with governments for the lifetime of the Activity and beyond.
  - iii. **Mitigation Measure:** Promote the integration of climate information services and water resource governance tools, approaches, and methodologies as best practices in protocols, plans, and regulatory frameworks to ensure standardization and potential scaleup.

## **CONTEXT RISKS**

**A. Risks (Objectives 1, 2, 3, and 4):** Political unrest in Haiti and/or binational conflict over resources may undermine or disrupt Activity achievements.

- a. **Potential Impact:** Haitian internal political conflict and/or binational border conflicts can affect targeted border areas thereby delaying/halting program implementation.
  - i. **Mitigation Measure:** Continuous dialogue (consensus-building) with key stakeholders e.g. government organizations and the private sector to ensure strong buy-in upfront.
  - ii. **Mitigation Measure:** Leveraging existing coordination platforms, such as the Water Table of the DR-Haiti Mixed Bilateral Commission, and developing MOUs that outline a shared vision and development agenda to ensure there is a common understanding between governments and stakeholders at a transboundary level.
  - iii. **Mitigation Measure:** Understanding of political culture and key decision-makers upfront. Leveraging these connections to minimize impact.

- B. Risks and Assumptions (Objectives 1, 2, 3, and 4):** Operational challenges due to climate (extended periods of drought, natural disasters potentially resulting in humanitarian crises, e.g. floods, hurricanes, etc).
- a. **Potential Impact:** Program implementation delays.
    - i. **Mitigation Measure:** Ensure early understanding of climate risks and embed mitigation measures into the implementation plan of the Activity.
    - ii. **Mitigation Measure:** Focus on building the enabling environment for the medium and long term.
  - b. **Potential Impact:** Divergence in goals or need to pivot due to changes in immediate needs/priorities.
    - i. **Mitigation Measure:** Adaptively manage change and impact at the ground level by developing mechanisms for regular check-in/feedback to ensure that the Activity meets beneficiary needs.
    - ii. **Mitigation Measure:** Ensure detailed Collaboration, Learning, and Adapting (CLA) strategy is in place to mitigate changes as they come along.
    - iii. **Mitigation Measure:** Establish a project management charter which defines internal roles and responsibilities at the local and regional level, and external stakeholder engagement.

## VII. ADAPTIVE MANAGEMENT

### **Refine and Implement**

The USAID/DR Mission will work closely with the Award Recipient during the post-award co-creation model known as Refine and Implement (R&I) which is intended to improve the activity design, appropriateness for context, and implementation planning. During initial refinement, the new awardee may carry out a number of interventions including traditional start-up tasks and additional activities, such as: conducting additional assessments to address knowledge gaps; community and other stakeholder engagement through participatory or system-driven approaches for strengthened local partnerships, capacity development, and coordination; conducting additional stakeholder consultations; refining the Theory of Change and results model; etc. The Award Recipient must bring the private sector onboard early on during the R&I stage and throughout all co-creation phases to ensure their buy-in and commitment to establish partnerships. At the end of the Refinement Period, the Award Recipient and USAID/DR will agree on a revised Theory of Change and results model, and other key approaches or strategies, such as the Activity's social and behavior change strategy or the Activity's private sector engagement strategy. The Award Recipient will be encouraged to continue employing principles of adaptive management and 'refinement' approaches throughout the life of the award.

### **Required Assessments**

The below assessments are either required per USAID's Automated Directives System (ADS) 201 or are considered necessary to inform the design and implementation of the Climate Adaptation Activity. These will also inform the Monitoring, Evaluation, and Learning (MEL) of this Activity. Some of the analyses referenced below have already been completed as part of the CDCS design

process. Others may have already been conducted by other parties, including the private sector, think tanks, host governments, other donors, and universities.

In addition to the required assessments and analyses, other consultations and/or assessments must be conducted if the Award Recipient deems it necessary during the initial refinement stage.

- **Cost benefit and market assessment for high-value crops**

Conducting an economic and financial cost-benefit analysis is a good practice and recommended during the implementation of this Activity. Specifically, for the implementation of **Objective 2: Climate smart considerations are incorporated into the practices of local farmers and the private sector to increase resilience to the impacts of climate change**, USAID/DR wants to ensure that markets exist for products (e.g., carbon mitigated, sequestered, avoided) and services (e.g., user fees for water and access fees for wood or charcoal), and that those prices reflect their relative scarcity impacts on climate. If a cost-benefit analysis has already been conducted then it could be referenced and utilized instead of developing one as part of the Activity.

- **Gender and Inclusive Development Analyses**

The Climate Adaptation Activity will support gender equality, women's empowerment and the inclusion of vulnerable groups and must ensure alignment with GODR's initiative under the Gender and Climate Change Action Plan (PAGCC-RD). The Activity should also refer to the [USAID/DR Mission's Gender and Inclusive Development Analysis \(GIDA\)](#) and conduct an additional rapid needs assessment (recommended no longer than 3 to 5 pages) specific to this sector and geographic area to evaluate gender and inclusive development needs within the first six months of award.

The findings and recommendations obtained from the GIDA and the needs assessment, should be integrated in the work plan of the Activity, added to mandatory reports, and reviewed, if applicable, every year. For specific guidance on how to conduct a GIDA, refer to the USAID Suggested Approaches for Integrating Inclusive Development Across the Program Cycle.

Applicants will maintain a commitment to nondiscrimination towards beneficiaries or potential beneficiaries and will develop a strategy for including marginalized populations into the work plan, including information on how the Activity will benefit the different marginalized groups. Applicants must show that the Activity takes into account the variety of different needs and approaches required to reach marginalized populations. The work plan should demonstrate:

- An understanding of the issues facing each marginalized group,
- What specific needs and interventions are required to reach targeted marginalized groups,
- Specific strategies to ensure the different marginalized groups are able to access Activity's services, and
- A plan to ensure the safety of marginalized groups while accessing the Activity's services.

Applicants should include concrete and practical approaches that address the challenges that marginalized groups face in accessing the Activity's services, and also involve and consult local civil society organizations representing marginalized groups.

- **Environment**

The Climate Adaptation Activity aims to maintain and restore natural resources in targeted watersheds such as forested areas and critical buffer zones in key water source areas upon which economic growth depends, with the purpose of supporting climate, ecosystem, and livelihood resilience. The Activity will also account for the adverse impacts the Activity might have on the environment. The Activity design has used baseline environment status information generated in the tropical forest and biodiversity analyses (FAA 118/119) completed for both Haiti and the DR within the past four years. The Activity must comply with USAID's environmental regulations, as mandated in 22 CFR 216 and ADS 204. The Foreign Assistance Act (FAA) of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. Similarly, sections 118(e) and Section 119(d) of the FAA, as amended, requires that each country development strategy statement or other country plan prepared by USAID shall include an analysis of the actions necessary in that country to achieve conservation and sustainable management of tropical forests, and an analysis of the actions necessary in that country to conserve biological diversity. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's ADS Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed, and that appropriate environmental safeguards are adopted for all activities. In addition, the Award Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

- **Climate Risk Management**

The Activity shall promote, where possible, the introduction of new technologies or practices to improve resilience of targeted value chains to climate hazards including increasing temperatures, shifting rainfall patterns, and more frequent drought in collaboration with producers, farmer associations, and the public and private sectors involved in these value chains. Given the climate change challenges in the DR, the Award Recipient will need to articulate practices and interventions that can enable climate resilient approaches to succeed and support the sustainability of the investments made under this Activity. The Activity should improve the capacity of communities and other stakeholders to build climate resilience into their management of natural resources within target sub-watersheds. A Climate Risk Management (CRM) screening, led by USAID with significant input from the Award Recipient, will be required prior to Activity implementation as part of the Environmental Compliance requirements for this Activity.

- **Sustainability Analysis**

The Climate Adaptation Activity must analyze key sustainability issues and considerations around a host of issues including economic, financial, social soundness, cultural, institutional capacity, political economy, technical/sectoral, and environmental. Where appropriate, the analysis should discuss generally how the Activity objectives could help achieve sustainability goals. This analysis also requires a review of the financial costs of the Activity, its recurrent costs, and its maintenance capability and costs (if applicable), as well as ensuring that future revenues will be

adequate. It involves analyzing the institutional capacity that will need to be in place or developed through the Activity, including systems, policies, and skills. The analysis should reference the sustainability objectives of the Activity or Activity components (with the understanding that not all activities aim to be fully sustainable at their conclusion), and indicate how the Activity intends to meet these objectives.

### **Collaborating, Learning, and Adapting**

The Award Recipient is expected to contribute to USAID/DR's commitment to a multifaceted Collaborating, Learning & Adapting (CLA) approach to development. The CLA approach is based on the understanding that development efforts yield more effective results if they are coordinated and collaborative; test promising, new approaches in a continuous yet also rapid, targeted search for generating improvements and efficiencies; and build on what works and eliminate what does not. Given the importance of CLA to the success of the Activity, the recipient is expected to integrate CLA approaches in the following ways:

#### **Collaborating**

- Establish and manage relationships with local stakeholders, particularly government ministries, departments, and provincial authorities; civil society organizations (CSOs), and the private sector and;
- Incorporate an inclusive and gender-sensitive approach to CLA.

#### **Learning**

- Conduct an initial and iterative system mapping analysis to help focus activity interventions and ensure that they adapt over time as the context changes;
- Regularly revisit the system map through less formal 'pause and reflect' sessions with stakeholders (likely on a semi-annual or annual basis) to review changes in the social, political, and economic context and update the Activity's Theory of Change, strategic approaches, and interventions as needed;
- Conduct after-action reviews for major interventions or approaches;
- Integrate more qualitative approaches to monitoring that enable the Activity to understand difficult-to-measure changes.

#### **Adapting**

- Periodically review and update, as needed, the Activity's Theory of Change, strategic approaches, and interventions based on the above learning. Annual work plans will be the primary means by which the Activity will adapt its approach and 'pause and reflect' should be timed to enable decision-making ahead of annual work plans.

Enabling Conditions: The CLA Framework discusses the enabling conditions necessary for CLA throughout the Program Cycle.

- The Award Recipient is expected to create a learning-oriented culture that enables adaptive management.
- The Award Recipient is expected to adequately resource CLA approaches throughout implementation and recruit and build the capacity of staff to implement in this way.

- USAID/DR will also provide flexibility to the Award Recipient to adapt when learning indicates adjustments are necessary.

### **Monitoring**

Monitoring of the project will be done at various levels and according to the CLA strategy developed under the Climate Adaptation Activity. Feedback mechanisms will be established between USAID/DR and the Award Recipient to monitor the implementation of activities and to track where variances that have the potential to derail the achievement of expected results occur. When such instances are identified, corrective approaches will be discussed and appropriate remedies put in place for adaptive management to occur. Monitoring activities include but are not limited to: selection of indicators and setting of baselines, targets, and data quality parameters; recurrent reporting on indicator data; quarterly meetings; and field visits, all of which should be captured under an Activity MEL Plan. **Applicants must include illustrative targets in their applications.**

A comprehensive list of illustrative activities under each strategic objective can be found in Attachment 2.

**Activity Purpose:** To build climate change resilience by promoting water security and sustainable livelihoods through reduced pressures on key water sources, enhanced watershed governance, and strengthened adaptation practices of vulnerable communities. This Activity will support locally-led development and catalyze private sector engagement to promote ownership and sustainability of climate adaptation actions and their mitigation co-benefits in the northern border region between the Dominican Republic and Haiti.

Strategic Approach & Key Results	Illustrative Performance Indicators (including Standard F Indicators)	Risks & Assumptions Indicators
<p><b>Objective 1:</b> Pressures on key ecosystems are reduced through sustainable forest management, supporting climate change adaptation in targeted watersheds.</p> <p><b>Key Results:</b>  <b>IR 1.1</b> Local demand for fuelwood/charcoal is reduced  <b>IR 1.2</b> Capacity of local communities to monitor and report illegal or disruptive land clearing in middle and upper watersheds is increased  <b>IR 1.3</b> Locally-led reforestation efforts, promoted by watershed councils and communities, are increased in key riparian areas.</p>	<p><b>(Outcome) EG.12-6</b> Greenhouse gas (GHG) emissions, estimated in metric tons of CO2 equivalent, reduced, sequestered or avoided through sustainable landscapes activities supported by USG assistance  <b>(Outcome) CUST</b> Percent change in forest cover in buffer zones and riparian areas  <b>(Outcome) CUST</b> Percent change in use of alternative cooking systems  <b>CUST</b> Percent of reports of illegal or disruptive land clearing activities made by local communities  <b>(Outcome) EG.12-5</b> Number of people receiving livelihood co-benefits (monetary or non-monetary) associated with the implementation of USG sustainable landscapes activities  <b>(Outcome) HL.8.5-1</b> Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance  <b>(Output) HL.8.1-3</b> Number of people receiving improved service quality from an existing basic or safely managed drinking water service as a result of USG assistance (i.e., existing access)</p>	<p><b>Youth 5</b> Percentage of youth who participate in civic engagement activities following soft skills/life skills training or initiatives from USG assisted programs  <b>LLD 01</b> Percent of locally led development activities achieving intended results  <b>DR.3.1-3</b> Number of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance</p> <p><b>Other progress/context measures:</b> (i) Activity reports; (ii) CRM Analysis; (iii) Monitor and record changes in climate.</p>

**Activity Purpose:** To build climate change resilience by promoting water security and sustainable livelihoods through reduced pressures on key water sources, enhanced watershed governance, and strengthened adaptation practices of vulnerable communities. This Activity will support locally-led development and catalyze private sector engagement to promote ownership and sustainability of climate adaptation actions and their mitigation co-benefits in the northern border region between the Dominican Republic and Haiti.

Strategic Approach & Key Results	Illustrative Performance Indicators (including Standard F Indicators)	Risks & Assumptions Indicators
<p><b>Objective 2:</b> Climate smart considerations are incorporated into the practices of local farmers and the private sector to increase resilience to the impacts of climate change</p> <p><b>Key Results:</b>  <b>IR 2.1</b> Cost-effective, nature-based water harvesting solutions are adopted at the farm level with the support of water councils  <b>IR 2.2</b> Use of innovative climate-smart agriculture solutions (including sustainable alternatives to cattle ranching) will be increased  <b>IR 2.3</b> Pilot climate financing mechanisms for climate-smart agriculture and related value chains are developed  <b>IR 2.4</b> Income from climate smart-agricultural products is increased</p>	<p><b>(Outcome) EG.3.2-28</b> Number of hectares under improved management practices or technologies that promote improved climate risk reduction and/or natural resources management with USG assistance.  <b>(Outcome) CUST</b> Percent of improved water storage capacity resulting from nature based water harvesting solutions.  <b>(Outcome) CUST</b> Percent change in product price of high-value crops resulting from improved adaptation practices.  <b>(Outcome) CUST</b> Number of private sector entities that develop and adopt climate-sensitive business models that incorporate and benefit local stakeholders, including farmers  <b>(Outcome) EG.11-4</b> Amount of investment mobilized (in USD) for climate change adaptation as supported by USG assistance  <b>(Outcome) EG.3.2-26</b> Value of annual sales of farms and firms receiving USG assistance.  <b>CUST</b> Percentage of youth who participate in civic engagement activities related to climate action following training or initiatives from USG assisted programs</p>	<p><b>PSE 2</b> Number of private sector enterprises that engaged with the USG to support U.S. Foreign Assistance objectives  <b>CUST</b> Level of interest in funding climate-smart products  <b>DR.3.1-3</b> Number of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance</p> <p><b>Other progress/context measures:</b> (i) Activity reports; (ii) CRM Analysis; (iii) Monitor and record changes in climate.</p>

**Activity Purpose:** To build climate change resilience by promoting water security and sustainable livelihoods through reduced pressures on key water sources, enhanced watershed governance, and strengthened adaptation practices of vulnerable communities. This Activity will support locally-led development and catalyze private sector engagement to promote ownership and sustainability of climate adaptation actions and their mitigation co-benefits in the northern border region between the Dominican Republic and Haiti.

Strategic Approach & Key Results	Illustrative Performance Indicators (including Standard F Indicators)	Risks & Assumptions Indicators
<p><b>Objective 3:</b> Watershed governance is strengthened through an integrated climate sensitive approach</p> <p><b>Key Results:</b>  <b>IR 3.1</b> Municipalities incorporate climate change adaptation actions into their budget and plans  <b>IR 3.2</b> Integrated and inclusive climate-sensitive watershed management plans are developed, adopted or implemented  <b>IR 3.3</b> Transboundary coordination between water users and councils is improved</p>	<p><b>RESIL 1</b> Number of host government or community-derived risk management plans formally proposed, adopted, implemented or institutionalized with USG assistance [IM-level]  <b>(Outcome) CUST</b> Percent of budget allocation for climate adaptation action at the municipal level resulting from USG assisted programs  <b>(Outcome) CUST</b> Benefit opportunity of transboundary cooperation for integrated watershed management (qualitative assessment of benefits of transboundary cooperation)  <b>EG.11-2</b> Number of institutions with improved capacity to assess or address climate change risks supported by USG assistance  <b>(Outcome) HL.8.5-1</b> Number of people benefiting from the adoption and implementation of measures to improve water resources management as a result of USG assistance</p>	<p><b>DR.3.1-1</b> Number of USG-assisted consensus-building processes resulting in an agreement  <b>DR.3.1-3</b> Number of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance  <b>Youth 5</b> Percentage of youth who participate in civic engagement activities following soft skills/life skills training or initiatives from USG assisted programs</p> <p><b>Other progress/context measures:</b> (i) Activity reports; (ii) CRM Analysis; (iii) Monitor and record changes in climate; (iv) Quarterly meetings with local governments and biannual meetings with relevant ministries.</p>
<p><b>Objective 4:</b> Climate services are used by local stakeholders, including farmers, water service providers and government officials, in critical water</p>	<p><b>(Outcome) EG.11-6</b> Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance  <b>EG. 11-2</b> Number of institutions with</p>	<p><b>PSE 2</b> Number of private sector enterprises that engaged with the USG to support U.S. Foreign Assistance objectives  <b>DR.3.1-1</b> Number of USG-assisted consensus-building processes resulting in an agreement  <b>DR.3.1-3</b> Number of consensus building forums (multi-party, civil/security sector, and/or civil/political) held with USG Assistance</p>

**Activity Purpose:** To build climate change resilience by promoting water security and sustainable livelihoods through reduced pressures on key water sources, enhanced watershed governance, and strengthened adaptation practices of vulnerable communities. This Activity will support locally-led development and catalyze private sector engagement to promote ownership and sustainability of climate adaptation actions and their mitigation co-benefits in the northern border region between the Dominican Republic and Haiti.

Strategic Approach & Key Results	Illustrative Performance Indicators (including Standard F Indicators)	Risks & Assumptions Indicators
<p>decision making to improve their ability to adapt to climate change</p> <p><b>Key Results:</b>  <b>IR 4.1</b> Climate water data sets that respond to local, context-specific stakeholder needs are in place  <b>IR 4.2</b> User friendly data-access tools are in place and easily accessible for local authorities and farmers</p>	<p>improved capacity to assess or address climate change risks supported by USG assistance</p> <p><b>HL. 8.3-3</b> Number of water and sanitation sector institutions strengthened to manage water resources or improve water supply and sanitation services as a result of USG assistance.</p>	<p><b>Other progress/context measures:</b> (i) Activity reports; (ii) Climate Risk Management (CRM) Analysis; (iii) Monitor and record changes in climate, (iv) Quarterly meetings with local governments and biannual meetings with relevant ministries.</p>

## **Evaluation**

USAID/DR plans to evaluate the Border Resilience Project, including the Climate Adaptation Activity, and as such requires robust monitoring of the Activity to inform the evaluation. This will be a mid-term performance evaluation which will be used to improve Activity and Project management, justify assistance resources with evidence and data, ensure accountability, and test the underlying development hypotheses of the Activity and Project strategies. USAID/DR will use the findings and recommendations identified in the evaluation and potential ad-hoc assessments to increase the efficiency and effectiveness of ongoing activities by developing post-evaluation action plans to address performance issues and to build on new and better opportunities identified.

Unplanned evaluations or assessments may be conducted in the event that USAID/DR identifies the need to assess specific components of project activities. Unplanned evaluations may be triggered by activities that are seemingly under- or over-performing.

## **Geographic Data**

Collecting and analyzing geographic data throughout Activity implementation helps to maximize development impact effectively and efficiently, and promote transparency, participation, and collaboration. Planning for and managing data collection and submission by implementing partners is a key step in leveraging the value of geographic data at USAID.

USAID is required to make nonproprietary geospatial data available collected under its activities to the public. Data must be consistent with U.S. Federal Geographic Data Committee (FGDC) standards. Therefore, the Award Recipient must collect, analyze, and share Activity Location Data for the implementation sites and at a minimum, collect the location of intended beneficiaries at the administrative unit 1 level, e.g., region, province, etc.

The Award Recipient is expected to analyze Activity Location Data with other monitoring data to inform efforts to manage adaptively and promote accountability. The Activity MEL Plan must consider indicator disaggregation by geographic location. When geographically disaggregated indicators are included, the MEL Plan must indicate the level of geographic detail at which the indicator data will be collected.

## **Geolocation Data**

Geographic Information System (GIS) data: USAID is required to make nonproprietary geospatial data available to the public. Data must be consistent with U.S. Federal Geographic Data Committee (FGDC) level 1 metadata standards. All spatial and geographic information system activities financed by USG federal funds must comply with:

- a. OMB Circular A-16, Executive Order 12906;
- b. Automated Directives System (ADS) 507 (Freedom of Information Act);
- c. ADS 551 (Data Administration); and
- d. ADS 557 (Public Information).
- e. ADS 579 (Activity Location Data)
- f. ADS 201 (Data disaggregation by Geographic location)

Therefore, the awardee must collect, analyze, and share activity exact site location level data for the implementation sites and at a minimum, collect the location of intended beneficiaries at the administrative unit 1 level, e.g., region, province, etc. The information should be submitted to USAID following one (1) year after the start date of the award and on October 30 of each subsequent year:

- a. Digital spatial data according to Federal Geographic Data Committee (FGDC) Level 1 metadata standards capturing GIS at the regional, administrative, community, and municipality level for their zones of intervention;
- b. Digital copies of spatial data with accompanying metadata; and
- c. Make spatial data available to the public at the cost of reproduction.

The recipient is expected to analyze Activity Location Data with other monitoring data to inform efforts to manage adaptively and promote accountability. The Activity MELP must consider indicator disaggregation by geographic location. When geographically disaggregated indicators are included, the MELP must indicate the level of geographic detail at which the indicator data will be collected.

## VIII. ALIGNMENT

### **USAID/DR's Country Development Cooperation Strategy and the Border Resilience Project**

This Activity falls under USAID/DR's Border Resilience Project as part of the USAID/DR 2020-2025 CDCS which supports U.S. initiatives to advance the 2030 GODR National Development Strategy. The five-year CDCS prioritizes three key interrelated thematic Development Objectives (DO) as follows:

DO1 "Citizen-Responsive Governance Strengthened";  
DO2 "Effective and Inclusive Service Delivery Systems Enhanced"; and,  
DO3 "Resilient and Inclusive Community and Wellbeing Improved."

The purpose of the Border Resilience Project is **to enhance the resilience of communities in the DR-Haiti border region**. The Border Resilience Project highlights transboundary work to allow for innovation and joint initiatives with Haiti and includes the integration of multiple technical areas that form part of USAID/DR bilateral programming.

Within the context of the CDCS, the Border Resilience Project contributes to the overall strategic goal of a more secure and inclusively prosperous DR that advances local and transboundary resilience. Through an integrated approach to resilience, USAID/DR will seek opportunities for collaboration and integration across multiple activities that contribute to the Border Resilience Project in areas of water, sanitation, and hygiene, natural resource management, biodiversity conservation, locally-led development, and conflict mitigation and management in relevant fields. It is expected that, as the capacity for locally-led sustainable livelihoods is improved, mechanisms for conflict reduction are strengthened, access to quality public services is

increased, and local governance is enhanced, the resilience of border communities in the DR and Haiti border region will be improved.

The Climate Adaptation Activity aligns with the overall strategic goal of the USAID/DR CDCS of strengthening resilience and promoting economic prosperity in the DR and the border region with Haiti. The Activity will strengthen local capacity to adapt to the impacts of climate change by strengthening governance and building resilient livelihoods, intersecting with USAID/DR CDCS DO1 and DO3<sup>11</sup>. In parallel, the Climate Adaptation Activity will help improve water quality, availability, and management, thereby increasing water security and resilience to the impacts of climate change, thereby contributing to USAID/DR CDCS DO2<sup>12</sup>.

The GODR has also prioritized the DR-Haiti border region in its Border Development Strategy (Estrategia de Desarrollo Fronterizo) developed by MEPyD in 2021. There are also several key natural resource management initiatives targeted by the Ministry of Environment and Natural Resources, INDRHI, and other key government institutions in this region. Similarly, MEPyD has created a border development directorate to develop an integrated strategy including key sectors to address development with which USAID/DR collaborates very closely. This Activity will also contribute to these initiatives.

### **Transboundary Programming**

Shared natural resources, particularly the transboundary nature of watersheds, make the border region a crucial area for sustainable fisheries and watershed management activities. The Climate Adaptation Activity will collaborate with existing bilateral and regional activities being implemented in the border region, thus contributing to multiple sectors and objectives. Activities in the border region seek to contribute to livelihood improvement, sound natural resource management, and enhance community development and leadership.

Current activities in the border region include Conflict Mitigation and Management (CMM) Activities, which are designed and implemented jointly with USAID/Haiti, and Local Works Activities, which seek to leverage transboundary partnerships and cross-sectoral programming that meets the most critical needs in the border region. These are key leverage areas that shall be considered for the implementation of the Climate Adaptation Activity.

### **United States Forest Service**

As a cross-cutting technical activity, USAID will engage with the United States Forest Service (USFS) to connect local partners with its vast network of specialized expertise. The USFS will support the development of capacity and tools in watershed management, climate information analysis, climate change vulnerability assessment, green infrastructure development, forestry, among many other areas. The technical assistance will be provided to local stakeholders,

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<sup>11</sup> Development Objective 1: Citizen Responsive Governance Strengthened through Intermediate Result (IR) 1.2: Accountable interconnected institutions strengthened; and Development Objective 3: Resilient and Inclusive Community Wellbeing Improved through IR 3.2: Capacity for locally owned sustainable outcomes improved.

<sup>12</sup> Development Objective 2: Effective and Inclusive Service Delivery Systems Enhanced through IR 2.2: Effectiveness of decentralized service provision increased.

municipal planners and officials, and communities and the Climate Adaptation Activity will have access to these resources over the course of implementation.

### **USAID/Haiti**

Given the transboundary impact of the Border Resilience Project on shared ecosystems between the DR and Haiti, USAID/DR is working in close collaboration with USAID/Haiti to coordinate transboundary programming in recognition of its potential to optimize the impact of development efforts in both countries. It is expected that Applicants will base their work on the DR side, but to the extent possible, will promote dialogue platforms and coordination with watershed management entities on the Haiti side of the border.

By collocating activities in areas where USAID/Haiti has interventions across the border, the Climate Adaptation Activity supports the following USAID/Haiti Strategic Framework 2020-2022 goal: “Haitians are more engaged in creating and sustaining a more resilient, prosperous, and democratic future.” The Climate Adaptation Activity will focus interventions in watersheds between the DR and Haiti with the purpose of strengthening local governance at a transboundary level.

### **Resilience Policy**

The Climate Adaptation Activity follows guidelines, definitions, and concepts dictated in the USAID Resilience Policy. The USAID Resilience Policy<sup>13</sup> recognizes the need to work to develop “the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.” The Resilience Policy draws from decades of experience providing humanitarian relief and development assistance. Ultimately, the policy seeks to save and improve lives and decrease the need for repeated infusions of humanitarian assistance in these areas.

The Climate Adaptation Activity will focus on building local resilience in transboundary watershed areas where poverty and vulnerability rates are the highest in the country. The Activity will concentrate on water as a resource, increasing the management for water availability and quality, as well as improving buffer zones and critical areas. These activities aim to increase resilience to climate change risks, such as droughts and floods caused by heavy rainfall and/or hurricanes.

### **U.S. Global Water Strategy**

The 2022 U.S. Global Water Strategy (GWS) seeks to improve health, prosperity, stability, and resilience through sustainable and equitable water resources management and access to safe drinking water and sanitation services and hygiene practices. The 2022 strategy will operationalize the first-ever White House Action Plan on Global Water Security that Vice President Kamala Harris launched in June 2022.

The GWS has four Strategic Objectives, of which the Climate Adaptation Activity will contribute directly to three: (1) Strengthen sector governance, financing, institutions, and

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<sup>13</sup> <https://www.usaid.gov/policy/resilience>

markets; (3) Improve climate-resilient conservation and management of freshwater resources and associated ecosystems; and (4) Anticipate and reduce conflict and fragility related to water.

Underlying these objectives are operating principles, which will guide USAID's water security investments over the next five years; these emphasize systems strengthening and localization, inclusive development, data and continuous learning and innovation, and resilience. The Climate Adaptation Activity must align with these principles as described throughout this document.

### **U.S. Government Global Climate Change Priorities (PREPARE and USAID Climate Strategy)**

Addressing climate change is a top priority for USAID as part of the U.S. Government (USG)'s renewed and strengthened commitments to building climate resilience and helping limit warming to 1.5 degrees Celsius as called for under the Paris Agreement. The Climate Adaptation Activity directly responds to the USAID Climate Strategy 2022-2030 Strategic Objective 1 to Drive Systems Change by catalyzing transformative shifts to net-zero and climate-resilient pathways. Embedded common principles included in the USAID Climate Strategy 2022-2030 and in the Climate Adaptation Activity include: locally-led development, private sector engagement, nature-based solutions, and equity and inclusion.

Additionally, this Activity directly aligns with the U.S. Government's President's Emergency Plan for Adaptation and Resilience (PREPARE) -- a strategy to activate a whole-of-government approach that brings together U.S. diplomatic, development, and technical expertise to support more than half a billion people in developing countries to adapt to and manage the impacts of climate change by 2030. This Activity will support the Dominican Republic in adapting to and managing the impacts of climate change across three components of the PREPARE strategy: i) sharing knowledge, ii) promoting plans and programs, and iii) fostering resources and private capital.

Lastly, to help address the evolving climate resilience and clean energy challenges in the Caribbean, the U.S. Government launched the U.S.-Caribbean Partnership to Address the Climate Crisis 2030 (PACC 2030). PACC 2030 establishes a comprehensive, goal-oriented framework to shape and elevate U.S. cooperation with Caribbean countries to support climate adaptation and strengthen energy security engagement, while building the resilience of critical infrastructure and local economies to the climate crisis. This Activity will contribute to PACC 2030's goals by building upon USAID's long-standing relationships with governments and communities in the Dominican Republic to enhance adaptation capacity and resilience across key economic sectors and livelihoods, such as agriculture.

### **IX. DESIGN METHODOLOGY**

USAID/DR research and field visits to the DR-Haiti border area resulted in the development of preliminary assessments that have influenced the technical planning and design of the Climate Adaptation Activity. Specifically, USAID/DR developed a Geospatial Land Use Analysis along the DR-Haiti Border in 2018 and later a DR Northwest Watershed Assessment in 2019. In addition to the internal assessments that were developed, technical documents and further assessments conducted by GODR and other stakeholders were reviewed. These assessments and

technical documents informed the Mission of the region's and target watersheds' vulnerability to climate change that would later justify the need for support in these areas.

In line with other resilience interventions, the Climate Adaptation Activity was planned as part of USAID/DR's Border Resilience Project under USAID/DR's Country Development Cooperation Strategy (CDCS) 2020-2025. For the development of the Border Resilience Project and its activities, USAID/DR used a collaborative systems mapping<sup>14</sup> process that aimed to bridge gaps across programs, donors, interventions and sectors in the region. To complete the situation model for this Activity, USAID/DR convened workshops within the agency and government counterparts, and conducted key informant interviews to gather input and insights from others working in the area and within this field. USAID/DR held several internal workshops to analyze leverage points and key sector-area behaviors in the border resilience system and identified potential collaborators. Gaps within the resilience system were also identified which served as the foundation for the design of activities under the aforementioned Border Resilience Project.

## **X. REGIONAL INTEGRATION STRATEGY**

### **Vision for Caribbean Disaster Recovery and Resilience**

The USAID Bureau for Latin America and the Caribbean (LAC) is spearheading the development of a **framework for USAID's climate resilience programming** in the Caribbean, the Vision for Caribbean Disaster Recovery and Resilience (VCDRR). The VCDRR will collaboratively develop and commit to **processes, roles, and responsibilities** related to regional climate resilience programming and future reporting of climate related sectors. The main purpose of the aforementioned framework is to foster "A Caribbean region that has the capacity and resources to anticipate, prepare for, and adapt to changing conditions; and to withstand, respond to, and recover from climate shocks, and improve the lives of those most vulnerable. The Climate Adaptation Activity is directly linked to this strategy given its focus on addressing climate risks, supporting locally led development, and bettering access and provision of public services and resources.

## **XI. CROSS-CUTTING ISSUE INTEGRATION**

### **Youth**

The Climate Adaptation Activity encompasses youth inclusion activities in its implementation to support, protect, prepare, empower and engage youth aged 10-29 years for participation in civil society, work, and family life; and also to mobilize the youth as agents of change and to secure the generational shift in key economic sectors the region. The border region has the highest rates of youth migration to other parts of the country due to lack of opportunities and community cohesion. The Climate Adaptation Activity contemplates community and youth-led monitoring and reporting of environmental related crimes and the fostering of advocacy groups, including empowering youth groups as agents of change within the watershed councils to address illegal

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<sup>14</sup> Systems mapping is the creation of visual depictions of a system, such as its relationships and feedback loops, actors and trends. Systems mapping is intended to provide a simplified conceptual understanding of a complex system that, for collective action purposes, can get partners on the same page.

activities. The purpose of including youth in these activities is to enable this age group to participate in addressing development challenges of their communities and nations (DR-Haiti). In addition, the Climate Adaptation Activity will include the participation of youth in training within watershed councils to strengthen their technical capacities in climate-smart watershed management. The Activity will train youth on how to access and use data in decision-making to promote a healthy generational shift and increase their involvement in decision making for their community. Hence, strategies have to incorporate specific approaches on how to effectively engage youth in these activities.

### **Gender and Inclusive Development**

Inclusion is one of USAID's core values. USAID promotes a nondiscriminatory and inclusive approach to development that ensures that all people – including those who face discrimination and thus may have limited access to a country's benefits, legal protections, or social participation are fully included and can participate in and benefit from development processes and activities.

The Dominican Republic is characterized by persistent cultural gender-based constraints that are hindering not only resilience, but broader socio economic development as well. Therefore, the Climate Adaptation Activity will foster locally-led strategies and tools to support the reduction of the gender gap and the eradication of multiple forms of discrimination and violence against women, girls, LGBTQI+ people, Dominicans of Haitian descent, migrants and other vulnerable groups as applicable. One of the most critical endeavors will require tools and actions to support progressive change of mainstream mentality on gender roles, and the representations of specific segments of the population discriminated against.

The DR-Haiti border region, where the Climate Adaptation Activity will be implemented, presents unique geographic, social and cultural characteristics. This area is home to a diverse population of transient groups of Haitians, Dominicans of Haitian descent, Dominicans and migrants. These groups are highly vulnerable, and although they live and work together in blended communities, there are underlying tensions often compounded with language and cultural differences which can hinder progress towards sustainable development efforts. The Climate Adaptation Activity will aim to strengthen governance at the local level to ensure equitable access to services by including vulnerable populations to participate in decision-making spaces and participatory planning process; increase resilience of targeted communities and local authorities by securing and managing critical resources such as water and forest, and strengthen the capacity of local organizations to lead in the response to development challenges.

### **Private Sector and Local Partner Engagement**

As described in USAID's Private Sector Engagement Policy<sup>15</sup> guidelines, USAID/DR actively seeks to increase partnerships with private sector entities to foster co-investment, collaboration, and sustainability to address key development issues. The Climate Adaptation Activity will prioritize market-based approaches and engage the private sector in the development of climate resilient business models and value chains by: i) building connections with companies who are

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<sup>15</sup> [https://www.usaid.gov/sites/default/files/documents/1865/usaid\\_psepolicy\\_final.pdf](https://www.usaid.gov/sites/default/files/documents/1865/usaid_psepolicy_final.pdf)

working on comparative advantages for their products and interested in climate resilient business models as it pertains to agricultural products; ii) identifying financing opportunities to fund and scale up climate change adaptation products/business pilots within selected business sectors; and iii) developing collaboration agreements between private sector and local farmer associations to implement climate adaptation pilots in target areas. The aforementioned initiatives and partnerships are embedded in the Climate Adaptation Activity design aiming to strengthen value chains and shape opportunities that are mutually-beneficial while building economic resilience within targeted communities.

Attachments:

1. [Results Framework](#)
2. [Illustrative Activities](#)
3. [Resilience System Map](#)
4. [Dominican Republic-Haiti Border Land Use Profile \(2018\)](#)
5. [Tropical Forests and Biodiversity in the Dominican Republic \(2018\)](#)
6. [CLIMA Whole-of-Project Evaluation \(2018\)](#)
7. [Dominican Republic Northwest Forest and Watershed Condition Assessment \(2019\)](#)
8. [Gender and Inclusive Development Assessment - Dominican Republic \(2020\)](#)
9. [Dominican Republic Climate Risk Profile](#)
10. [Haiti Climate Risk Profile](#)

**[END OF SECTION A]**

## **SECTION B: FEDERAL AWARD INFORMATION**

### **1. Estimate of Funds Available and Number of Awards Contemplated**

USAID intends to award a Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide US\$10,000,000.00 in total USAID funding over a five (5) year period.

### **2. Start Date and Period of Performance for Federal Awards**

The anticipated period of performance is five (5) years.

### **3. Substantial Involvement**

The award will be a Cooperative Agreement and in accordance with ADS 303.3.11(b), the intended areas of substantial involvement are:

- a. Approval of the recipient's implementation plans by the Agreement Officer Representative (AOR): USAID will approve (a) annual work plans, and (b) any significant adaptations to the work plan, for example changes based on Agency priorities, contextual changes, and/or partnerships.
- b. Review and approval of substantive provisions of proposed subawards or contracts (see definitions in 2 CFR 200).
- c. Approval of Specified Key Personnel as concurred by the AOR and approved by the Agreement Officer (AO). USAID will approve Key Personnel and future changes.
- d. Agency and Recipient collaboration or joint participation.
  - i. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.
  - ii. Approval of the Recipient's Activity Monitoring, Evaluation, and Learning Plan (AMELP) by the AOR.
- e. Agency monitoring to permit specific kinds of direction or redirection of the work because of the interrelationships with other projects or activities. USAID monitoring will be required throughout the period of performance to continually facilitate its funding with that of other donors and activities. Direct agency operational involvement or participation to ensure compliance with statutory requirements such as civil rights, environmental protection, and provisions for the handicapped.

#### **4. Authorized Geographic Code**

The geographic code for the procurement of commodities and services under this program is code 937, which includes the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source.

#### **5. 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 New Opportunity Climate Adaptation 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.

**[END OF SECTION B]**

## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

Eligibility for this RFA is not restricted.

### **2. Cost Sharing or Matching**

USAID has established a suggested recipient cost share of 15 percent of the total Activity cost, equivalent to \$1,500,000 as the cost share contribution of the recipient to the Activity. Such funds may be provided directly by 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. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306

The Applicant should use USAID/Dominican Republic funding as an incentive to leverage funds from other sources, which can be used to build the foundation for sustained climate resilience and rural economic development. The Applicant and its partners are expected to collaboratively establish sustainable mechanisms that promote climate resilience in key economic sectors in targeted upper watersheds. Leveraged resources, defined as financial and in-kind contributions or investments (such as equipment, training, level of effort, and any in-kind contributions), which enable the achievement of results, could include resources from joint ventures, commercial partnerships, and institutions, among other types of partnerships. Within these parameters, the Applicant is expected to quantify the resources leveraged which will be provided in terms of cash and in-kind contributions. USAID shall make the final determination and assess whether or not the Applicants' cost share contributions (e.g. categories or items) meet the standards set in 2 CFR 200. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306 .

**[END OF SECTION C]**

## SECTION D: APPLICATION AND SUBMISSION INFORMATION

### 1. Agency Point of Contact

Name: Mr. Chadwick Mills  
Title: Deputy Regional Agreement Officer (AO)  
Email: [cmills@usaid.gov](mailto:cmills@usaid.gov)

Name: Ms. Gina Harrison  
Title: Acquisition & Assistance Specialist  
Email: [gharrison@usaid.gov](mailto:gharrison@usaid.gov)

Name: Mercedes Calderón  
Title: Acquisition & Assistance Specialist  
Email: [mcalderon@usaid.gov](mailto:mcalderon@usaid.gov)

### 2. Questions and Answers

Questions regarding this RFA should be submitted by email to both Mr. Chadwick Mills at [cmills@usaid.gov](mailto:cmills@usaid.gov), with copy to Ms. Gina Harrison at [gharrison@usaid.gov](mailto:gharrison@usaid.gov) and Mercedes Calderón at [mcalderon@usaid.gov](mailto:mcalderon@usaid.gov) no later than the date and time indicated on the cover letter. Any information given to the prospective Applicant(s) concerning this RFA will be furnished promptly to the prospective Applicant(s) as an amendment to this RFA, if that information is necessary in submitting the application or if the lack of it would be prejudicial to the prospective Applicant(s).

### 3. General Content and Form of Application

Preparation of Application:

Applicants must furnish the information required by this RFA. The application must be submitted in three separate parts: the Summary, 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.

#### **Applications must contain the following information:**

- a. Cover Page (1 page, not included in the 20 pages limit)
- b. Table of Contents (1 page, not included in the 20 page limit)
- c. Summary Information (2 pages, not included in the 20 page limit)
  1. Name and contact information of Applicant.

2. Organization type and country of legal registration. Include a short description of the organization structure and names of the board of directors and their email addresses. Include names of shareholders (if applicable).
3. Title of proposed activity.
4. Location of proposed activity.
5. Name, contact information, and country of legal registration for other partner organizations collaborating on the concept (if any). If the partner organization is also a resource partner, provide a letter of commitment explaining what the role will be for each resource partner.
6. Overall objective of activity (1-2 sentences).
7. Brief description of the learning priority(ies) included in the proposed activity (1-2 sentences). Brief description of the approach to local resources included in the proposed activity, if applicable (1-2 sentences).
8. Amount of funding requested from USAID \$ \_\_\_\_\_
9. Explanation of how the requested funding amount reasonably reflects the organization's existing resources and capacity to grow.

d. Technical Application (20 pages)

1. Technical Approach
2. Activity Management and Staffing Plan
3. Relevant Experience

e) Cost Application (not included in the 20 pages limit)

1. Budget Narrative
2. Detailed Budget in an Excel spreadsheet
3. SF 424 Form(s)

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

The application must comply with the following:

- USAID will not review any pages in excess of the page limits noted. Please ensure that the application comply with the page limitations.
- Written in English.
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- 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 RFA 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 RFA. 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. Application Submission Procedures**

The application in response to this RFA must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified email receipt.

The application must be submitted by email to Mr. Chadwick Mills at [cmills@usaid.gov](mailto:cmills@usaid.gov), with copy to Ms. Gina Harrison at [gharrison@usaid.gov](mailto:gharrison@usaid.gov), and Ms. Mercedes Calderón at [mcalderon@usaid.gov](mailto:mcalderon@usaid.gov). The email submission must include the RFA number and Applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their 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 that states: "[RFA number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide 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.

After submitting an application electronically, Applicants should immediately check their own email to confirm that the attachments were indeed sent. If an Applicant discovers an error in 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.

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, Applicants are requested to send the

application in sufficient time ahead of the deadline. For this RFA, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of \*.zip files due to anti-virus software. Therefore, Applicants are discouraged from sending files in this format as USAID/Dominican Republic/Regional Office of Acquisition and Assistance (ROAA) cannot guarantee their acceptance by the internet server. File size must not exceed 25 M per email.

## **5. Technical Application Format**

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

- **Cover Page** (See Section D.3 above for further details on specific requirements)
- **Table of Contents** (See Section D.3 above for further details on specific requirements)
- **Summary information** - The Summary information must provide a high-level overview of key elements of the Technical Application. See Section D.3 above for further details on specific requirements. Include major sections and page numbering to easily cross-reference and identify merit review criteria.
- **Technical Approach**
  - The application must provide evidence that demonstrates a sound understanding of problems to be addressed, guiding principles of the Activity, and opportunities to facilitate achievement of results.
  - The application must include a sustainability plan (no more than 2 pages) for the proposed activities beyond the award period. The sustainability plan must demonstrate the ability to develop feasible and scalable market-based solutions that leverage private sector and public resources to ensure the sustainability of the proposed activities.
  - The application must propose mechanisms via which public and private financing opportunities to fund and scale up pilot climate change adaptation productive activities will be identified.
  - The application must clearly describe how the operational approach will foster transformative change through sustainable local systems strengthening.
  - The applicant must describe the expected results, including completeness of targets and indicators for monitoring, evaluation, and learning for the Activity.

- Applicants must choose to work in either one of the two watersheds where proposed activities can maximize impact and promote the scale up of climate action. Activities must be designed at the sub-watershed level
- Applicants must provide a strong justification for the selection of at least one sub-watershed within the selected watershed
- **Activity Management and Staffing Plan**
  - The applicant must submit the following to demonstrate Activity Management and Staffing Plan capacity:
    - The application must clearly describe the organizational structure for implementation, including reasonableness of proposed timeline for activities and implementation, and arrangements for learning and appropriate adaptation of implementation based on experience and changes to implementing environment and stakeholder interests.
    - The application must describe the appropriateness of overall staffing and organizational structure, partnership, and coordination plans. This should include a clear description of geographic locations and staffing distribution and requirements per location. A technical team with staff based in the field is required under this NOFO.
    - The applicant must propose the key personnel structure, including positions and qualifications, that they deem appropriate for the implementation of the activities described in the Program Description.
- **Relevant Experience**
  - The applicant must describe the degree to which they have a demonstrated and successful experience implementing similar programs to that described in the NOFO. Similarity is defined in terms of the types of programs – implementing, monitoring, and reporting on similar or closely related activities to those contained in the program description.

## **6. Business (Cost) Application Format**

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, Applicants are encouraged to be as concise as possible while still providing the necessary details. 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 200.206. Applicants should not submit any additional information with their initial application.

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

**a) Budget Narrative**

**b) Detailed Budget in an Excel spreadsheet**

**c) 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](http://www.grants.gov) or using the following links:

<b>Instructions for SF-424</b>	<a href="https://www.grants.gov/web/grants/forms/forms-repository.html">https://www.grants.gov/web/grants/forms/forms-repository.html</a>
<b>Application for Federal Assistance (SF-424)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF-424A</b>	<a href="https://www.grants.gov/web/grants/forms/forms-repository.html">https://www.grants.gov/web/grants/forms/forms-repository.html</a>
<b>Budget Information (SF-424A)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF-424B</b>	<a href="https://www.grants.gov/web/grants/forms/forms-repository.html">https://www.grants.gov/web/grants/forms/forms-repository.html</a>
<b>Assurances (SF-424B)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>

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

**c) Required Certifications and Assurances**

The applicant must complete the following documents and submit a signed copy with their application:

- (1) “Certifications, Assurances, Representations, and Other Statements of the Recipient” ADS 303mav document found at <https://www.usaid.gov/about-us/agency-policy/series-300/references-chapter/303mav>
- (2) Assurances for Non-Construction Programs (SF-424B)
- (3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

#### **d) 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 federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. Applicants must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable. Applicants must refer to and complete (fill) the attached **ANNEX 1 – DETAIL & SUMMARY BUDGET TEMPLATE**.

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 and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. **See Section H, Annex 1 for Summary Budget Template**
- Detailed Budget, including a breakdown by year, 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 and cost share, 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. An Applicant's budget must include position title, salary rate, level of effort, 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 an 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 any supporting market research.
- 2) Fringe Benefits – (if applicable) If an Applicant has a fringe benefit 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 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) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, 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 property leased.
- 5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant’s budget, including those related to fringe and indirect costs.
- 6) Construction – If applicable.
- 7) 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. Applicants should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.
- 8) 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. 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.

<https://www.usaid.gov/partner-with-us/resources-for-partners/indirect-cost-rate-guide-non-profit-organizations> see link for further guidance.

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

Eligibility: Any Applicant that does not have a current 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. Applicants must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200 for further information.

#### Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the Agreement Officer.

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If an 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.

#### Notes:

De Minimis rate: Eligible non-Federal organizations are authorized by 2 CFR 200 to elect to use the de minimis rate. The Agreement Officer must not deny use of the de minimis rate unless the Applicant fails to meet the conditions for its use.

Timing - The Agreement Officer should consider how much information will be required in the initial Application. The initial Application should require minimal supporting documentation, but if the Agreement Officer and the apparently successful Applicant will pursue approval of either a NICRA where one does not currently exist or a fixed amount, the Agreement Officer must request additional information and should conduct a pre-award survey.

- 9) Cost Sharing – Applicants should estimate the amount of cost-sharing resources to be provided over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting award.

**e) 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 an 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**

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

- Name of organization
- Unique Entity Identifier (UEI)
- Confirmation that the subrecipient does not appear on the Treasury Department’s Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in SAM
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the Applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.332(b)
- Any negative findings as a result of the risk assessment and the Applicant’s plan for mitigation.

**g) UEI and SAM Requirements**

USAID may not award to an Applicant unless the Applicant has complied with all applicable UEI and SAM requirements. Applicants must obtain a UEI and register in SAM (<https://sam.gov/>) in order to be eligible to receive federal assistance, such as grants and cooperative agreements. Unless an exemption applies (see ADS 303maz), applicants must be registered in SAM prior to

submitting an application for award for USAID's consideration. Recipients must maintain an active SAM registration while they have an active award. 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 UEI number for the Applicant and all proposed sub-recipients;
2. Be registered in SAM before award. 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](http://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 an Applicant is not qualified to receive an award and use that determination as a basis for making an award to another Applicant.

SAM and UEI 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](http://www.sam.gov), navigate to Help, then to International Registrants.

## **h) History of Performance**

Applicants must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed 5 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 5 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.

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.

**i) Branding Strategy & Marking Plan**

The Apparently Successful Applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award. The applicant must follow instructions provided in the Pre-award Terms found in [ADS 303mba entitled “Branding Strategy – Assistance” and “Marking Plan – Assistance”](#) for preparing the strategy and plan. The applicant must complete (fill) the attached **ANNEX 4 – BRANDING STRATEGY & MARKING PLAN TEMPLATE**. Also, refer to [2 CFR 700.16](#) or, for non-U.S. organizations, see the provision entitled [“Marking and Public Communications Under USAID-Funded Assistance \(December 2014\).”](#)

**j) Funding Restrictions**

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.331 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction will not be authorized under this award.

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 Agreement Officer, 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 RFA and must meet the source and nationality requirements set forth in 22 CFR 228.

**k) Conflict of Interest Pre-Award Term**

Applicants must follow the Pre-award Terms found in [ADS 303mba entitled “Conflict of Interest Pre-Award Term”](#)

**[END OF SECTION D]**

## SECTION E: APPLICATION REVIEW INFORMATION

### 1. Criteria

The merit review criteria prescribed here are tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in its Application, and (b) set the standard against which the Application will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be scored by a Merit Review Committee (MRC) using the criteria described in this section.

In evaluating the Application, the Selection Committee (SC) will utilize the review criterion as described in this RFA.

### 2. Review and Selection Process

The Technical Application will be evaluated by a Selection Committee composed of USAID personnel. Applicants' proposed cost sharing will be considered in the review process, as opposed to being an eligibility criterion. The Cost/Business Application will be evaluated by the Agreement Officer, Agreement Specialist on a cost effectiveness and realism analysis. The Agreement Officer will make the final selection.

#### a) Merit Review

USAID will conduct a merit review of the application received that comply with the instructions in this RFA. Applications will be reviewed and evaluated in accordance with the following criteria shown below:

#### Merit Review Criteria 1: Technical Approach

<b>CRITERION 1</b>	<b>CRITERION NAME:</b>	<b>Technical Approach</b>	<b>IMPORTANCE or WEIGHT:</b>	Most important
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The Technical Approach will be evaluated on the extent to which the applicant's approach:

- Provides convincing evidence of the applicant's understanding of the tasks it proposes to carry out, in response to the problem statement, and their relationship to the objectives and performance indicators and targets outlined in the RFA.
- Demonstrates that proposed activities are sustainable beyond the award period, including the ability to develop feasible and scalable market-based solutions that leverage private sector and public resources to ensure the sustainability of the proposed activities.

- Describes how inclusive development and local community engagement considerations will be built into proposed activities.

**Merit Review Criteria 2:**

<b>CRITERION 2</b>	<b>CRITERION NAME:</b>	<b>Activity Management and Staffing Plan</b>	<b>IMPORTANCE or WEIGHT:</b>	Second Most important
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- The extent to which the application provides quality, capability, and appropriateness of the proposed key personnel positions and qualifications, and relevant work experience, and demonstrates a management approach that clearly identifies teaming arrangements (if any), staffing structure, and teaming partners’ technical and institutional qualification to accomplish the requirements of the Program Description.

**Merit Review Criteria 3:**

<b>CRITERION 3</b>	<b>CRITERION NAME:</b>	<b>Relevant Experience</b>	<b>IMPORTANCE or WEIGHT:</b>	Least important
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- The extent to which the applicant’s track record demonstrates successful implementation of similar activities. The relevance of the work performed by an applicant in the past and how well it performed that work will be evaluated.

**b) Cost Application Review**

In evaluating the Cost of Applications, USAID will evaluate the Applicant’s proposed costs for effectiveness, completeness, reasonableness, and realism. USAID will evaluate the Cost Application for completeness by assessing the responsiveness of the Applicant in providing requested cost data as requested in the RFA.

USAID will evaluate how well the Applicant’s Application supports elements of cost, level of effort, and indirect cost rates over the assistance award life. As well as reflect a clear understanding of the requirements and are consistent with the Applicant’s technical capacity. Proposed indirect rates and factors will be verified with the USAID Cost and Audit Support or other Cognizant Audit Agency via rate check or formal audit, as appropriate.

As part of the analysis of the Applicant's proposed budget, the Agreement Officer will review the Applicant's proposed cost share contributions for cost realism. The Agreement Officer must verify that the proposed contributions meet the standards set in 2 CFR 200.306 for U.S. organizations or the Standard Provision “Cost Share” for non-U.S. organizations.

**[END OF SECTION E]**

## SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

### 1. Federal Award Notices

Award of the agreement contemplated by this RFA 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. A notice of award signed by the Agreement Officer is the authorizing document that the successful Applicant can expect to receive via email for countersignature, following selection. USAID will consider requests for additional information from unsuccessful Applicants.

### 2. Administrative & National Policy Requirements

The resulting award from this RFA will be administered in accordance with the following policies and regulations.

- For US organizations: [ADS 303](#), [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S.Non-Governmental organizations](#).
- For Non US organizations: [Standard Provisions for Non-U.S. Non-governmentalOrganizations](#).

See **ANNEX 2**, for a list of the Standard Provisions that will be applicable to any awards resulting from this RFA.

### 3. Reporting Requirements

This section includes general information regarding the type (e.g., financial or performance), frequency, and means of submission of award reporting requirements. The types and frequency of financial and programmatic reports will be strictly limited to those detailed in [2 CFR 200](#) (For output or unit cost data refer to [2 CFR 200.328](#)).

- **Annual Work Plan:** The Recipient shall submit the first Annual Work Plan within 90 days of the award, written in English, indicating specific objectives of the activity with measurable benchmarks, and a schedule of activities - technical assistance, training, and other inputs/outputs.

All subsequent Annual Work Plans shall be submitted to the AOR for approval by August 31 of each year for the work to be carried out over the succeeding period commencing October 1 through to September 30 of the following year.

The detailed section of the Annual Work Plan shall incorporate a work plan narrative, log frame, scope, budget, schedule, approvals, relationships, control, and resource allocation. Elements will include the breakdown of activities in the program; how gender integration will be handled and reported; private sector engagement, identification of responsibilities; identification of critical completion milestones and project interfaces; inventory controls; financial, budget, and administrative procedures as relevant.

- **Financial Reporting:**

The Recipient will be required to submit on a quarterly basis by e-mail the Standard Form 425 or Standard Form 425a, Federal Financial Report. Financial Reports shall be submitted no later than 45 days after the end of each specified reporting period. The recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer and the Agreement Officer's Representative (AOR). The recipient must submit an electronic version of the final Federal Financial Form (SF-425) reports to USAID/Dominican Republic RFMO at [Mission-SantoDomingo-fa@usaid.gov](mailto:Mission-SantoDomingo-fa@usaid.gov), the Agreement Officer, Agreement Specialist, and the AOR at [TO BE COMPLETED AFTER AWARD].

- **Annual Activity Reports**

The annual activity report will provide a comprehensive summary of actions, progress towards results, and implementation and management issues, for a period of approximately one year. The annual report will be submitted to the AOR within 45 days of the end of the reporting fiscal year which begins on October 1st and ends on September 30, the following year. For the final activity year, this report shall also summarize overall activity achievements and issues, and shall be titled as the final activity report. One electronic copy and two hard copies of the annual report will be submitted to the AOR. The exact format of the annual report will be determined in collaboration with the AOR.

- **Quarterly Reports**

This report shall present progress toward achieving planned results as well as the resources expended over the course of the quarter. The planned timeline, achievements, and expenditures shall be presented for both core and field activities. The format should be concise and include information in both qualitative and quantitative form. The exact format of the quarterly performance monitoring report will be determined in collaboration with the AOR, and shall be submitted within 30 days of the end of the quarter. These reports shall be presented along with a Quarterly Data Registry (QDR) in which all indicators and results are listed.

- **Performance Reporting**

The Recipient will be required to submit on a quarterly basis by email performance reports. The performance reporting requirements will be compliance with [2 CFR 200.328 – Monitoring and](#)

## Reporting Program Performance.

The Activity MEL plan is due ninety (90) calendar days upon award. In compliance with ADS 201 and ADS 579 regarding data reporting, once the Activity MEL Plan is approved, the Recipient may submit all data information into the USAID preferred performance management system as described in the final award. Data that is recommended to be submitted to the system include:

Indicator results (baseline and targets will be entered by USAID/DR based on the approved MEL Plan)

1. Intervention locations
2. Submission of reporting/ periodic progress reports/ including supplemental and supporting materials.

USAID will provide system access instructions and training materials upon award.

- **Final Report**

The Recipient will be required to submit a final report by email. Specific instructions for the submission of the final report will be included in the resulting award from this RFA.

#### **4. Program Income**

Program income is not anticipated under this activity.

#### **5. Environmental Compliance**

a) The FAA of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. Similarly, sections 118(e) and Section 119(d) of the FAA, as amended, requires that each country development strategy statement or other country plan prepared by the Agency for International Development shall include an analysis of the actions necessary in that country to achieve conservation and sustainable management of tropical forests, and an analysis of the actions necessary in that country to conserve biological diversity. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's ADS Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

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

- c) No activity funded under this agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in the Initial Environmental Examination (IEE) duly signed by the Bureau Environmental Officer (BEO)(Hereinafter, such documents are described as “approved Regulation 216 environmental documentation”).
- d) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- e) 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.
- f) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

**[END OF SECTION F]**

## SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

### 1. RFA Points of Contact

Mr. Chadwick Mills  
Deputy Regional Agreement Officer (AO)  
Regional Office of Acquisition & Assistance (ROAA)  
USAID/Dominican Republic  
Avenida República de Colombia # 57  
Altos de Arroyo Hondo, Santo Domingo, DN  
Dominican Republic, 10605  
E-mail: [cmills@usaid.gov](mailto:cmills@usaid.gov)

Ms. Gina Harrison  
Acquisition & Assistance Specialist  
Regional Office of Acquisition & Assistance (ROAA)  
USAID/Dominican Republic  
Avenida República de Colombia # 57  
Altos de Arroyo Hondo, Santo Domingo, DN  
Dominican Republic, 10605  
E-mail: [gharrison@usaid.gov](mailto:gharrison@usaid.gov)

Ms. Mercedes Calderón  
Acquisition & Assistance Specialist  
Regional Office of Acquisition & Assistance (ROAA)  
USAID/Dominican Republic  
Avenida República de Colombia # 57  
Altos de Arroyo Hondo, Santo Domingo, DN  
Dominican Republic, 10605  
E-mail: [mcalderon@usaid.gov](mailto:mcalderon@usaid.gov)

### 2. Acquisition and Assistance Ombudsman

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: <https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

The A&A Ombudsman may be contacted via: [Ombudsman@usaid.gov](mailto:Ombudsman@usaid.gov)

[END OF SECTION G]

## SECTION H: OTHER INFORMATION

USAID reserves the right to fund or not the application submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

### Application 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.”

## **ANNEXES**

### **ANNEX 1 - DETAILED & SUMMARY BUDGET TEMPLATE**

**ANNEX 1 – [DETAILED & SUMMARY BUDGET TEMPLATE](#)** (Electronic version of the detail budget format is provided as part of the RFA Attachments folder).

**[END OF SECTION H]**

## ANNEX 2 - 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:

**Please note that the resulting award will include all standard provisions (both mandatory and required as applicable) in full text.**

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

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (NOVEMBER 2020)
TBD		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (NOVEMBER 2020)
TBD		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
TBD		RAA5. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
X		RAA6. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (NOVEMBER 2020)
X		RAA7. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2022)
X		RAA8. SUBAWARDS (DECEMBER 2014)
X		RAA9. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
	X	RAA10. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA11. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2022)
X		RAA12. PATENT RIGHTS (DECEMBER 2022)
	X	RAA13. RESERVED
	X	RAA14. INVESTMENT PROMOTION (DECEMBER 2022)
X		RAA 15. COST SHARE (JUNE 2012)
	X	RAA16. PROGRAM INCOME (AUGUST 2020)
	X	RAA17. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

	X	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA19. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	X	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	X	RAA23. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA24. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA25. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA26. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
	X	RAA27. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
X		RAA28. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2022)
	X	RAA29. RESERVED
	X	RAA30. RESERVED
	X	RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

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

<b>Required</b>	<b>Not Required</b>	<b>Standard Provision</b>
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (NOVEMBER 2020)
TBD		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (NOVEMBER 2020)
TBD		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2022)
TBD		RAA4. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
	X	RAA5. RESERVED
	X	RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA7. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA8. CARE OF LABORATORY ANIMALS (MARCH 2004)
	X	RAA9. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (DECEMBER 2022)
X		RAA10. COST SHARING (MATCHING) (FEBRUARY 2012)
	X	RAA11. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
	X	RAA12. INVESTMENT PROMOTION (DECEMBER 2022)
X		RAA13. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2022)
	X	RAA14. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

	X	RAA15. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA16. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA17. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA18.RESERVED
	X	RAA19. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
X		RAA23. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT (DECEMBER 2022)
X		RAA24. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2022)
	X	RAA25. PATENT REPORTING PROCEDURES (DECEMBER 2022)
	X	RAA26. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
X		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2022)
	X	RAA28. RESERVED
	X	RAA29. RESERVED

	X	RAA30. PROGRAM INCOME (AUGUST 2020)
	X	RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

## ANNEX 3 - BRANDING STRATEGY & MARKING PLAN TEMPLATE

### GENERAL INSTRUCTIONS - ASSISTANCE AWARDS BRANDING/MARKING GUIDANCE

USAID’s policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded or co-marked.” In accordance with [2 CFR 700.16](#), this policy applies to these assistance awards even when the award does not require any cost sharing.

Co-branding and co-marking means that the program name represents both USAID and the implementing partner and the USAID identity and implementer’s logo must both be visible with equal size and prominence on program materials produced for program purposes.

This sample/template is based on [ADS 320.3.3](#) and [2 CFR 700.16](#) branding and marking requirements for assistance awards only. The recipient, by responding to the questions in italics, will be able to substantially comply with the ADS and CFR requirements.

#### THIS PORTION TO BE COMPLETED BY THE RECIPIENT:

##### “USAID BRANDING STRATEGY”

AWARD TITLE: \_\_\_\_\_

AWARD NUMBER: **TBD**

DATE OF PLAN: \_\_\_\_\_

#### 1) Positioning

What is the intended name of this activity? Please keep in mind that the project names should be clear, concise and represent a basic description of the project in simple language. Keep in mind that acronyms rarely communicate the project goals and should be avoided.

#### 2) Program Communications and Publicity

Who are the primary and secondary audiences for this activity?

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

What is the main activity message?

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

Please provide any additional ideas about how to increase awareness that the American people support this activity.

**3) Acknowledgements**

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

**GENERAL INSTRUCTIONS**

USAID’s policy requires non-U.S., non-governmental organizations, including cooperating country non-governmental organizations (and in rare cases, Public International Organizations) to follow marking requirements for assistance awards. Marking requirements, including requests for presumptive exceptions and waivers for assistance awards must be in accordance with [2 CFR 700.16](#).

With reference to ADS Sections [320.3.3](#) and [2 CFR 700.16](#) the Recipient shall prepare a Marking Plan containing information substantially similar to the sample provided below:

**“USAID MARKING PLAN”**

**AWARD TITLE:** \_\_\_\_\_

**AWARD NUMBER:** **TBD**

**DATE OF PLAN:** \_\_\_\_\_

- (1) Requirement: A description of the public communications, commodities, and program materials that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID identity. These include: (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature; (ii) technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, websites/Internet activities, and other promotional, informational, media, or communication products funded by USAID; (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.
- (2) Table of Supplies and Equipment to be used in a visible manner in the fulfillment of the goals of the “Leap Activity” and an indication of how and where they will be tagged with the USAID identity.

<b>Supply/Equipment</b>	<b>Type of Marking</b>	<b>Where Marking Placed</b>
Computers?	USAID Identifying vinyl label	On front of monitor
Printers?	USAID Identifying vinyl label	On top of printer

Field Backpacks?	USAID Identifying vinyl label	On outside of backpack

- (3) Table of Deliverables expected to be produced in the conduct of this program: All deliverables will be marked in a visible manner with the USAID identity; below is an indication of what type of marking will be used and where on the deliverable the USAID identity will be placed.

<b>Deliverable</b>	<b>Type of Marking</b>	<b>Where Marking Placed</b>
Reports?	USAID printed identity	Front cover
Publications (brochures)?	USAID printed identity	Front cover
Website?	USAID web identity	Front page

- (4) Sub-recipient: As specified in the standard provisions, the marking requirements will “flow down” to sub-recipients or sub-awards, and will include the USAID-approved marking provision in all USAID funded sub-awards, as follows: “As a condition of receipt of this sub-award, marking with USAID identity of a size and prominence equivalent to or greater than the recipient’s, sub-recipient’s, other donor’s or third party’s is required.”
- (5) Any “public communications,” as defined in [2 CFR 700.16](#), funded by USAID, in which the content has been approved by USAID, will contain the following disclaimer:

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

- (6) As specified in the standard provisions, \_\_\_\_\_ will provide the Agreement Officer’s Representative (AOR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, \_\_\_\_\_ will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

**[END OF ANNEXES]**

**[END OF FUNDING OPPORTUNITY]**