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Subject: USAID-RDMA-486-10-035-RFA
Asia Regional Sustainable Landscapes Program

The United States Agency for International Development (USAID), is seeking applications (proposals for funding) from U.S. or non-U.S. non-governmental organizations (NGOs) and/or a consortia to strengthen capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in greenhouse gas (GHG) emissions from the forestry-land use sector and to participate in and benefit from the emerging international Reduced Emissions from Deforestation and Degradation (REDD)-plus¹ framework. USAID/RDMA is issuing a request for applications for a cooperative agreement for the Asia Regional Sustainable Landscapes Program. Please refer to the Program Description (RFA section C) for a complete statement of goals and expected results.

RDMA conducted an Asia Regional REDD Program Planning Assessment in 2010. It examined the regional opportunities and challenges related to climate change mitigation in the forestry-land use sector and indicated that there is considerable potential in Asia for meaningful emissions reductions as a result of improved land use practices. Applicants may review this assessment at the following website: (<http://www.usaid.gov/rdma/programs/en.html>). The assessment should be treated as background information; the RFA takes precedence.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost standards (22 CFR 226, plus OMB Circular A-122 for non-profit organizations and OMB Circular A-21 for universities, and the Federal Acquisition Regulation Part 31 for for-profit organizations), may be paid under the award.

Subject to the availability of funds, USAID intends to award a cooperative agreement of up to \$20,000,000 for a program not to exceed five years (from on or about December 01, 2010 - November 30, 2015). USAID reserves the right to fund any, a portion of, or none of the applications submitted. USAID may also exercise the discretion to make awards to more than one organization.

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

1. Section A - Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Applicant

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this www.Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section A of this RFA.

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

Any questions concerning this RFA shall be submitted in writing to Ms. Praveena ViraSingh, Acquisition Specialist, via email to pvirasingh@usaid.gov and copied to Mr. Craig Riegler at criegler@usaid.gov . If you decide to submit an

¹ REDD-plus refers to Reduced Emissions from Deforestation and forest Degradation (REDD), including forest conservation, sustainable forest management, and enhancement of forest carbon stocks.

application, it must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. The closing date of this RFA is not anticipated to be extended due to time constraints.

The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www) to allow for electronic submission of applications. Applicants may upload applications to www.grants.gov, however, hard copy submissions are still required by USAID/RDMA. This RFA and any future amendments can be downloaded from this website www.grants.gov. It is the responsibility of the recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Applicants may also submit their applications by e-mail attachment formatted in Microsoft Word (up to 2 MB limit per email), with hard copies by the due date. Important: please see Section A.1.g of the RFA for detailed instructions regarding submission of applications via email. Applications and modifications thereof shall be submitted with the name and address of the applicant and the RFA number (referenced above) inscribed thereon, via email, to pvirasingh@usaid.gov and copied to criegler@usaid.gov.

Applicants shall confirm with Craig Riegler/Praveena ViraSingh that their electronic submissions (either via grants.gov or via email) were successfully received by the required due date. In addition to the submission of applications via email or www.grants.gov, an original and four (4) hard copies of the technical applications, and an original and three (3) hard copies of the cost proposals, shall be sent to:

By U.S. Mail

Craig Riegler
Regional Office of Procurement
American Embassy Bangkok/Thailand
Box 47
APO, AP 96546

By All Other Means of Delivery:

Craig Riegler
Regional Office of Procurement
USAID Regional Development Mission for Asia
Athenee Tower, 25th Floor
63 Wireless Road
Bangkok, 10330 Thailand

Hard copies of submissions should arrive by the due date. It is recommended that applicants use courier service instead of international mail for the hard copies. Applications will be accepted for consideration as long as they arrive in Bangkok, Thailand by the time stipulated. See RFA Section A.1.b regarding late applications.

Applicants are requested to submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Award will be made to that responsible applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein.

Faxed proposals are not acceptable.

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant, and all preparation and submission costs are at the applicant's expense.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section C - The Program Description;
- (d) This Cover Letter; and
- (e) Asia Regional REDD Program Planning Assessment Report.

Applicants should take into account the expected delivery time required by the proposal transmission method they choose, and are responsible to ensure that proposals are received at USAID/RDMA, Bangkok (and not at another location) by the due date and time specified above.

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

Thank you for your interest in USAID/RDMA programs.

Sincerely,

/s/

Craig Riegler
Regional Agreement Officer
USAID/RDMA, Bangkok

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SECTION A - AGREEMENT APPLICATION FORMAT

I. PREPARATION GUIDELINES

U.S. or non-U.S. non-governmental organizations (NGOs) and/or a consortia are eligible to submit applications. For the purposes of this solicitation, NGOs include any incorporated entity, either non-profit or for-profit, other than a governmental organization. Applicants may form partnerships with other academic institutions, private sector entities, or NGOs in submitting applications.

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. An original and four (4) hard copies of the technical application and an original and three (3) hard copies of the cost application shall be submitted in addition to the electronic submission, as described in the cover letter of this RFA.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if: (a) USAID's treatment of the material is consistent with the terms of the RFA, (b) all late applications are treated the same, (c) they are evaluated before any agreements are awarded under the RFA and (d) the Agreement Officer consents in writing to the review of late or incomplete applications.
- c. Technical applications should be specific, complete, and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the technical evaluation criteria found in Section B.
- d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the email addresses set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. **The deadline for receipt of questions is September 17, 2010, 4:00 PM, local Bangkok time.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective grantee concerning this RFA will also be furnished to all other prospective grantees as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.
- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.
- f. [Reserved].
- g. Submission of Applications Electronically (**Important**):
 1. Preferred software for electronic submissions: Microsoft Word (for narrative text) or Excel (for tables). PDF files are acceptable. Please be advised that the selected applicant will be requested to submit their budget breakdown in Excel.

2. After you have sent your proposals electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or make note in the filename if submitted via grants.gov that it is a "corrected" submission. Each applicant is responsible for their submissions.

3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email.

4. Your organization shall appoint one person to send in the email submissions who will serve as the contact person for future communications regarding this RFA.

5. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost proposal is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Proposal, Part 1 of 2".

USAID's preference is that the technical proposal and the cost proposal be submitted as single email attachments, e.g., that you consolidate the various parts of a technical proposal 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 submitted electronic proposals if no instructions are provided or if instructions are unclear.

h. The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.

i. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

j. Preparation of Applications:

1. Applicants are expected to 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.

2. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

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

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

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

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

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

II. TECHNICAL APPLICATION FORMAT

A. The Technical Approach -as revised during negotiations- will become the Program Description of any resulting Cooperative Agreement. It must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed. It should outline specific, focused activities; identify how and where (e.g. country and level: local, national, or regional) those activities will be implemented; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the program is completed. Applicants are highly encouraged to propose innovative programs designed to reach the desired outcomes/results. Creativity and innovation will be a key factor to the applicant's success.

The Technical Approach should present a clear description of how innovations in sustainable land management will be demonstrated in pilot landscapes in targeted countries, address how specific pilot actions will inform national policy processes, and demonstrate plans for sharing and replication of best practices between countries through regional platforms. Applicants should also describe the value of their proposed regional approach and clarify linkages between regional, country/national, and local activities. Applicants should address organizational strengthening needs of local partners, sub-partners, and stakeholders with a realistic and sustainable plan to transfer responsibility to these partners and build country and local ownership as they gain capacity. With respect to describing public-private partnership activities, if applicable, applicants are requested to describe how the proposed program is strengthened by the involvement of potential private sector partner(s), what the business interests are of the partner(s) in terms of program goals or outcomes, and explain how the resources, assets, or skills they could contribute to the program contribute to the impact, scale, or sustainability of the project. Potential risks to the program and how those risks would be mitigated should also be addressed. Consistent with USAID's commitment to gender equality as a critical element of development, the applicant should also describe its approach to integrate activities that promote gender equality, and avoid adverse gender impacts. (More information on USAID's focus on women in development is available at http://www.usaid.gov/our_work/cross-cutting_programs/wid/.)

US Government policy on support for programs that may generate, verify, or set standards for carbon credits or national crediting levels is evolving. The applicant will need to closely consult with USAID on these issues and to comply with any USAID directives on the appropriate use of government funds. Similarly, the applicant should be able to demonstrate clear organizational policy on conflicts of interest, or appearance of conflict of interest, if engaged in carbon transactions or investments. The applicant should indicate any activities that might pose a conflict of interest, and propose how such conflicts will be avoided.

B. The proposed outcomes/results should, as far as possible, be measurable, without undergoing an intensive and expensive evaluation. If it is not possible to measure desired results within the project period because of funding constraints, such results may be documented through qualitative approaches.

C. The application must provide a draft annual workplan for the first year, including a detailed Implementation Schedule for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the quarterly, annual, and end-of-program results.

D. The Management Plan and Key Personnel must specify the composition and organizational context of the entire implementation team (including home office support). The applicant shall indicate the names and provide a resume for each proposed candidate for key personnel that clearly outlines his or her experience and background. Resumes should not exceed three (3) pages for each person. Please supply proposed position descriptions for the proposed staff.

Personnel Requirements. Applicants must propose Key Personnel positions (not to exceed 5), including the Chief-of-Party, and provide resumes and a minimum of three references for the candidates proposed for such positions in an annex. Resumes shall be no more than three (3) pages in length for each proposed individual and shall be presented in chronological order starting with most recent experience. Key personnel will be assessed on the appropriateness of their academic background, expertise and years of experience working on project activities similar to their designated duties and responsibilities for this program. Applicants must clearly specify the qualifications and abilities of proposed key personnel relevant to successful implementation of the proposed technical approach. Each resume shall be accompanied by a SIGNED letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. References may be checked for all proposed long-term personnel, and applicants shall provide current phone, fax, and email address for each reference contact.

The applicant shall propose key technical personnel and other personnel as part of the technical proposal as deemed appropriate to implement the major tasks described in the statement of work in Section C. For those personnel based in the field, RDMA leaves to the applicant to determine the appropriateness of employing overseas and/or local hires. RDMA requires that the Chief of Party be based in Bangkok in order to facilitate management and coordination with RDMA and that sufficient personnel be based in Bangkok to address the complexity of implementing a regional program.

Chief of Party - The applicant is required to appoint a Chief of Party (COP). The COP will be responsible for technical leadership and administrative oversight of the program and serve as the principal institutional liaison to USAID. The COP will have the following minimum set of qualifications:

- A minimum of fifteen years of professional experience in fields related to the successful implementation of this program, such as forest/natural resources management, biodiversity conservation, sustainable forestry management, payment for environmental services, community and alternative livelihood development, governance and capacity building, as well as an understanding of policy, economics, and market issues in these sectors.
- A graduate degree (Master's Degree or higher preferred) in a similarly related field of study, such as forestry or environmental management, global climate change, environmental economics, international development, public/business administration, or governance.
- Proven exceptional leadership in the design, management, implementation, monitoring, and evaluation of similar-size international donor support programs with skills in strategic planning, management, supervision, and budgeting, and preferably experience in managing complex, multi-national/regional activities involving coordination with multiple program partner institutions.
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams.
- Strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the program and to effectively coordinate with a wide range of regional stakeholders.
- Proficiency in a local Asian language preferred.
- Knowledge of USAID policies and procedures as related to program management preferred.
- Knowledge of the political, social, cultural, environmental, and development context of Asia strongly preferred.

Illustrative key personnel may include: (i) a Deputy Chief of Party, (ii) a Forest Management and Climate Change Technical Advisor, with specific expertise in forest cover monitoring, forest carbon accounting, and monitoring, reporting, and verification, and/or (iii) a Governance and Institutional Development Advisor, with specific expertise in institutional

strengthening, policy development, public participation and partnership building. For key personnel, technical experience working in Asia is a plus, and excellent written and oral communications skills in English are strongly desired. RDMA's Agreement Officer Technical Representative (AOTR) will approve all key personnel.

The **Management Plan** shall describe the technical resources and expertise that the applicant and its proposed partners will utilize in implementing the proposed program and how these resources will be organized to deliver the desired outcomes and meet USAID's expectations for reporting, coordination, and communications. The management plan must specify the composition and organizational structure of the program team (including home office support and field office(s), as appropriate) and briefly describe each proposed staff member's role, technical expertise, estimated amount of time s/he will be devoted to the program, and specify whether s/he will be country-specific or regionally based. The application must also briefly describe the experience, role, and location of any partner organizations or consortium members, including US-based, private sector, or other partner organizations, the comparative advantage of the team in implementing the proposed activities, and the approach for managing the proposed sub-recipient/sub-contractors. The applicant should consider including within the application the role of specific local organizations (local NGO, university or other appropriate entity) in each country that will implement activities in partnership with the applicant; the purpose of the partnership being capacity building of the local partner(s) to eventually independently implement and sustain program activities beyond the life of this specific program. The applicant shall also clearly describe its approach for identifying and establishing public-private partnerships that leverage external resources and expertise, as applicable.

E. The draft Performance Management Plan shall include annual and end-of-program indicators and targets to measure the progress of the proposed activities and the achievement of results. The plan shall also describe the monitoring system that will enable it to track these indicators regularly. Applicants should provide estimated (draft) targets by indicator for the first 12 months of the program (from December 1, 2010 to November 30, 2011). Actual and subsequent year targets will be negotiated with USAID/RDMA annually during work plan development based on availability of funds and program performance. The list of proposed indicators should align with program level standard indicators, although these are changing and actual monitoring and evaluation (M&E) planning must be developed with RDMA through annual work plan development. Applicants may propose other indicators which would be added to the M&E planning which might facilitate enhanced monitoring of proposed activities and complement program indicators, in particular, with respect to regional activities.

The draft Implementation Work Plan for the first 12 months must also include a detailed Implementation Schedule for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline the links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the quarterly, annual, and end-of-program results. Illustrative indicators are provided in Section C. New REDD-plus specific USAID standard indicators are currently under development and will be provided to the applicant once finalized for utilization in this program. Among other performance measures, the program is expected to promote meaningful short- and long-term reductions in greenhouse gas emissions from the land use sector in the region, as well as potential leverage of public and/or private resources.

F. Quarterly reports to be submitted during program implementation. (See section C.VI.B.4 for information on financial reporting and section C.VI.B generally for information on programmatic reporting.)

G. Applications will be evaluated based upon both the level of achievement proposed and the realism of the plan for reaching that level of achievement. Post-award recipient performance will be evaluated against the standards proposed by the applicant and accepted by the USAID, so well-documented realism in the statement of these program objectives is essential.

H. It is recommended that an applicant carefully review the selection/evaluation criteria outlined in Section B of the RFA and organize its proposal accordingly.

I. Applications shall discuss how resources will be organized to obtain expected results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

J. Additional Information about the institutional capability (which includes past performance) and staffing components of the technical plan. The institutional capability and staffing components of the technical plan shall include the information specified in paragraphs 1 - 4, below.

1. Personnel Proposed. Specify the composition and organizational context of the entire implementation team (including home office support) and describe each staff member's role, technical expertise and estimated amount of time each will devote to the project. Indicate the names and provide resumes of all important managerial and technical personnel to be assigned to this program activity. Proposed personnel not yet identified may be shown as "TBD" (to be determined).

2. Institutional Capability. Applicants must offer evidence of their technical resources and expertise in addressing relevant problems and issues. Care shall be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
- Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
- Evidence of a successful record of implementing projects in the region, if applicable;
- Relevant experience with proposed approaches;
- Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines/areas;
- Sub-recipient capabilities and expertise;
- Proposed field management structure and financial controls; and
- Home-office backstopping and its purposes.

3. Past Performance References. Applications must include the five (5) most relevant U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three years involving programs similar to the program proposed in your application. Include the following for each award listed:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award number;
- Amount of award;

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- Term of award (start and end dates of services/program);
- Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency; and
- Brief description of the program.

Applicants must also include the three (3) most relevant U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, etc. received by each major subgrantee proposed. A major subgrantee is one whose proposed cost exceeds 25% of the applicant's total proposed cost. Include the same information as listed above.

USAID may contact references and use the past performance data, along with other information to determine the applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

4. Subgrantees: Organizations may not possess all the skills required to achieve all the results identified in this RFA. Organizations are urged to enter into partnerships with other non-profit and/or for-profit organizations as sub-grantees to supplement skills. However, one organization shall be designated to serve as the prime organization and will be responsible for the achievement of results and the implementation of the program. If the applicant plans to collaborate with other organizations or indigenous organizations for the implementation of the core component of this award, the services to be provided by each organization shall be described. Applicants that intend to utilize subgrantees shall indicate the extent intended, the method of identifying them and the tasks/functions they will be performing. Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship (e.g., subgrantee, subcontractor, partnership etc). The applicant must specify the technical resources and expertise of proposed organizations. Technical plan information for proposed subgrantees should follow the same format as that submitted by the applicant. A SIGNED letter of commitment from the proposed partner must be submitted.

K. The suggested outline for the technical application is:

- I. Title Page
- II. Table of Contents, listing all page numbers and attachments;

Narrative: (not to exceed 20 typed, double-spaced pages, Times New Roman 12-point font) describing:

- III. Executive Summary;
- IV. Goal and Objectives;
- V. Technical Approach;
- VI. Proposed Outcomes/Results;
- VII. Implementation Work Plan and Schedule;
- VIII. Management Plan and Key Personnel (include partnership and subaward arrangements where applicable);

Annexes (Annexes beyond those stated will not be read or taken into consideration):

- a. Relevant Past Performance Information (Recipient and Key Partner Organizations, if applicable);
- b. Curriculum Vitae for Key Personnel;
- c. Performance Management Plan.

L. Substantial Involvement:

USAID considers collaboration with the recipient crucial for the successful implementation of this program. Substantial involvement under the proposed award shall include the following:

1. Approval of key personnel
2. Approval of the initial and annual work plans, including the Performance Management Plan; any significant changes to the approved work-plan or the performance monitoring plan will require additional approval
3. Approval of all sub-awards except those covered by 22 CFR 225.25(c.8)
4. Collaboration or joint participation of USAID and the applicant on the program including (a) the monitoring of specified kinds of direction or redirection because of interrelationships with other projects, USG Agencies and Embassies and (b) the creation of standards for carbon credits, national credit levels, and the ownership of any credits or revenues generated as described in Section C.

III. COST APPLICATION FORMAT

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

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

A. Include a budget with an accompanying budget narrative which provides in detail the total proposed costs for implementation of the program your organization is proposing. Detailed budget notes which explain the basis of estimate (cost realism and cost reasonableness) and supporting justification of all proposed budget line items shall be included. A summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the grants.gov website at www.grants.gov.

- a) The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- b) The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program;
- c) The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- d) The breakdown of the financial and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement;
- e) Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement; and
- f) The procurement plan for commodities.
- g) Other instructions for preparation of proposed budgets:

(1) Indicate the name, annual salary, and expected level of effort of each person charged to the project. Provide resumes showing work experience and annual salary history for at least the three most recent years for major personnel.

(2) If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.

(3) The same individual information for consultants shall be provided as for regular personnel.

(4) Allowances shall be broken down by specific type and by person, and must be in accordance with the applicant's policies.

(5) Travel, per diem and other transportation expenses shall be detailed in your proposal to include number of international trips, expected itineraries, number of per diem days and per diem rates.

(6) Specify all equipment to be purchased and the expected geographic source.

(7) Financial Plans for all proposed subgrants and subcontracts shall have the same format and level of detail as those of the applicant. Following the applicant's detailed budget breakdown, detailed budget breakdowns for each sub-recipients/(sub) contractor shall be presented. Sub-recipient/(sub) contractor budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/(sub) contract. Detailed budget notes which explain how the subs' proposed budget was reviewed and how a determination was made that it is fair and reasonable shall be provided.

(8) Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs shall be separate cost line items.

B. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

C. Required certifications and representations (as attached below);

D. There is no minimum cost share requirement under this RFA.

E. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. Projected budget, cash flow and organizational chart; and
3. A copy of the organization's accounting manual.

F. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

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

G. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

H. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Procurement.

IV. AGREEMENT AWARD

1. The Government may award one or more cooperative agreements resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value in terms of the selection criteria (see Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The Government may award one or more cooperative agreements on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.
4. To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

V. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed cooperative agreement may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

VI. GEOGRAPHIC CODE

The source and origin of procurements under this agreement will be subject to the Standard Provisions titled "USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)" and "Local Procurement".

VII. U.S. EXECUTIVE ORDERS AND LAW REGARDING TERRORISM

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

VIII. FOREIGN GOVERNMENT DELEGATION TO INTERNATIONAL CONFERENCES

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

IX. SALARY SUPPLEMENTS

Any payments by the Recipient to employees at any level of any foreign government shall be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the agreement, the Recipient shall consult with USAID on any questions regarding the applicability of the policy.

X. UNSUCCESSFUL APPLICATIONS

Unsuccessful applications will not be returned to the Applicant.

XI. NON-FEDERAL AUDITS

In accordance with 22 C.F.R. Part 226.26 Recipients and subrecipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and subrecipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

XII. COUNTRY RESTRICTIONS

It is anticipated that funds under any resulting agreement(s) may be used to provide assistance to the following countries: Cambodia, Laos, Thailand, Vietnam, Malaysia, Papua New Guinea, Bangladesh, Bhutan, India, Indonesia, Nepal, and the Philippines. Assistance provided to any other country must receive the approval of the Agreement Officer in writing. Assistance involving Nepal is subject to and governed by the OFAC sanctions applicable to Nepal and the effective OFAC license.

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this RFA. Approximate weighted points indicate the relative importance of each technical criterion against which technical applications shall be evaluated. Thereafter, the cost application of all applicants submitting a technically acceptable application will be reviewed and costs will be evaluated for general reasonableness, allowability, and allocability. Awards will be made to responsible applications whose applications offer the greatest value, cost and other factors considered.

The relative importance of each criterion is indicated by approximate weight by points, of which 100 points are possible for technical related issues as described below. Applicants should note that these criteria serve to identify the significant matters, which applicants should address in their applications, and to set standards against which all applications will be evaluated. Within each category, sub-criteria are weighted according to the points indicated. A total of 100 points are assigned according to the following evaluation criteria. To facilitate the review of applications, applicants are requested to organize the narrative sections of technical proposals according to the evaluation criteria set forth below. Applications will be evaluated in accordance with the evaluation criteria set forth below.

I. Technical Approach **[40 points]**

The technical approach will be evaluated in terms of overall quality, including innovativeness, flexibility, creativity, and overall practicality to achieve or exceed the program objectives and the specific expected outcomes, and the merit of the applicant's regional approach to scale-up innovation in sustainable land management through learning platforms, to apply scientific criteria to the selection of field demonstration sites, to link local, national, and regional activities as part of a cohesive program, to link pilot activities with policy processes, to leverage additional resources through public-private partnerships, and to sustain program impacts. **(25 points)**

In addition, the technical approach will be evaluated in terms of the integrity and soundness of the draft Performance Management Plan, draft Workplan, and Implementation Schedule to demonstrate, measure, and monitor program progress and results consistent with the program goal, objectives, and expected outcomes (including the activities of any sub-awards). Other factors for evaluation are the flexibility to engage emerging opportunities and priorities, to adopt new USAID standards, and to integrate gender in activities as appropriate. **(15 points)**

II. Management Plan and Key Personnel **[40 points]**

The management plan will be evaluated according to reasonableness, feasibility, and potential to fulfill technical, coordination, and communications requirements, particularly with respect to effectively implementing and monitoring a regional program based on the applicant's proposed overall staffing and management plan, the rationale for key roles and responsibilities of technical personnel in support of each activity, field office location(s), and the overall management structure, including regional and country-specific responsibilities, as applicable. **(20 points)**

Key personnel will be evaluated with respect to demonstrated relevant qualifications, technical and program management experience and skills applicable for completing program activities and meeting the specific personnel qualifications described in Section A.II.D. Past personnel experience involving the program's subject matter is preferred, as is past experience in the Asia region. **(20 points)**

III. Institutional Capabilities **[10 points]**

Demonstrated capacity to undertake complex regional programs in similar fields, with particular emphasis on dynamic programs that are responsive to emerging opportunities that worked collaboratively to achieve sustainable results.

IV. Past Performance **[10 points]**

Past performance will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA, as well as experience in program monitoring and evaluation, timeliness, budgeting, and financial reporting.

Each applicant is required to provide past performance references (the five most relevant) for itself and three for each proposed major subgrantee. The past performance evaluation will focus on the applicant's record of conforming to contract/agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to contract/agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment to customer satisfaction, the business-like concern for the interest of the customer, and the competency of personnel who worked on the agreement.

[Note: The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will not be evaluated favorably or unfavorably on past performance. The neutral rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.]

USAID reserves the right to obtain past performance information from other sources including those not named in this application.

TOTAL: 100 points

Cost Evaluation: Evaluation points will not be awarded for cost. Cost will primarily be evaluated for realism, allowability and reasonableness. This will consist of a review of the cost portion of the applicant's proposal to determine if the overall costs proposed are realistic for the work to be performed, if the cost reflects the applicant's understanding of the requirements, and if the costs are consistent with the technical proposal.

Evaluation of the cost proposal will consider but not be limited to the following.

- Cost reasonableness;
- Cost effectiveness and realism;
 - Are the budget estimates realistic for the proposed activities?
 - Do the budget allocations result in optimal used of program funds and ensure that there are sufficient resources to implement the proposed program activities?
- Consistency with the technical proposal;
- Completeness and adequacy of proposed budget information;
- Overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements); and

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- Cost sharing, although not required, will be looked upon favorably.

Subject to the availability of funds, USAID expects to award one or more cooperative agreements. An award (or awards) will be made to the responsible applicant(s)/partner(s) whose application(s) offer the greatest value, cost, integrated approach, financial viability, innovative solutions, and other factors considered.

Notes on cost sharing:

- a. Cost share is defined by USAID as “contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient’s records.” Please take note of the provision on cost sharing in 22 CFR 226.23.
- b. USAID policy is that cost sharing is an important element of the USAID-recipient relationship. USAID requires applicants to demonstrate their commitment to program success by addressing the issue of cost-sharing, although USAID does not require a specific cost share amount. The applicant’s cost share is in addition to any leveraged resources through proposed public-private partnership(s).

SECTION C - PROGRAM DESCRIPTION

ASIA REGIONAL SUSTAINABLE LANDSCAPES PROGRAM

1. Program Overview

The U.S. Agency for International Development's Regional Development Mission for Asia (USAID/RDMA) will support the United States Government's Global Climate Change Initiative with strategic investments over the next five years to catalyze a transformational shift to low carbon growth, and is soliciting applications for targeted programs to address the Asia region's forest mitigation challenges. This new Asia Regional Sustainable Landscapes Program (*'the Program'*) will strengthen capacities of developing countries in the Asia region to produce meaningful and sustainable reductions in greenhouse gas (GHG) emissions from the forestry-land use sector and to participate in and benefit from the emerging international Reduced Emissions from Deforestation and Degradation (REDD)-plus² framework. USAID/RDMA is issuing this Request for Applications (RFA) for approximately \$4,000,000 annually for a five-year period (o/a December 2010 – November 2015), subject to availability of funds.

This Program is intended to support priorities of the U.S. Government's Global Climate Change Initiative, including:

- Demonstrating continued U.S. leadership in forging a global solution to the climate challenge, by beginning implementation of key portions of the Copenhagen Accord and pursuing a global regime with meaningful emissions reductions from all major emitters, and in a manner that ensures transparency and equitability for women and indigenous populations;
- Helping developing countries focus their climate investments strategically over the coming years through low-carbon planning that helps advance sustainable development objectives; and
- Assisting developing countries in establishing the means of effectively measuring, reporting, and verifying domestic emissions, in order to inform the design of domestic policies, providing a foundation for a range of domestic instruments to mobilize private capital, and ensuring that countries are on track individually and collectively in delivering on their emission mitigation goals and actions.

2. Background

Climate change is one of the century's greatest challenges, and low-carbon, climate-resilient growth has become a top priority for U.S. Government (USG) development assistance and diplomacy. The Asia region is central to U.S. and international efforts to address global climate change due to: its significant and growing share of global greenhouse gas emissions; dependence on climate-sensitive livelihoods such as agriculture, fisheries, forestry, and tourism; and high physical vulnerabilities. To avoid the worst impacts, global carbon emissions must be halved from today's levels within a period of 40 years, requiring an unprecedented transition to clean energy and dramatic reductions in deforestation rates. Deforestation and land use change are estimated to account for approximately 14-17% of total global emissions,³ with over half of this originating in Asia where carbon emissions from deforestation dominate the national emissions profiles of many developing nations.

Political momentum for addressing deforestation has grown dramatically, beginning in December 2007 when the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties (COP) in Bali firmly placed forests on the international political climate change agenda by including REDD as a major component of the Bali Roadmap. Over the last several years, the concept has broadened from avoided deforestation and forest degradation to include a wide range of forest sector opportunities, and is now referred to as REDD-plus. In December 2009, the

² REDD-plus refers to Reduced Emissions from Deforestation and forest Degradation (REDD), including forest conservation, sustainable forest management, and enhancement of forest carbon stocks.

³ IPCC. 2007. Climate Change 2007: Mitigation. Contribution of Working Group III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change. B. Metz, O.R. Davidson, P.R. Bosch, R. Dave, L.A. Meyer (eds.), Cambridge University Press, Cambridge, United Kingdom and New York, NY, USA.

Copenhagen Accord strongly recognized the significant mitigation role of forests and called for “the immediate establishment of a mechanism including REDD-plus, to enable the mobilization of financial resources from developed countries.” The ongoing negotiations are encouraging developing nations to support and participate in a new international framework that would provide financial incentives for protecting and enhancing globally-important forest carbon stocks. In support of the Copenhagen Accord, the United States Government made a commitment of \$1 billion over the next three years (2010-2012) to support reduced emissions and increased sequestration related to forests.

The Asia region’s extensive forest resources cover about 30% of its total land area (~500 million hectares)⁴ and, in addition to carbon storage, provide a range of important environmental services for the hundreds of millions of people that depend upon them directly for their livelihoods and survival. Asia’s forests are significant sources of the region’s rich terrestrial biodiversity and also help to maintain important watersheds, such as in the Mekong River basin, upon which millions of people depend. However, despite their intrinsic, economic, and societal values, natural forests in Asia continue to disappear at high rates due to a combination of myriad threats, including conversion to agriculture and plantations, illegal logging, unsustainable extraction of timber and other forest resources, changing climatic conditions, infrastructure development, and urbanization. Forest degradation—unsustainable harvesting and land-use practices such as selective logging, fuel wood gathering, forest fires and other anthropogenic disturbances—has also contributed to substantial reductions in forest carbon stocks.

The forestry and land use sector is the largest source of Southeast Asia’s GHG emissions and therefore has significant potential for achieving cost-effective emissions reductions. Achieving this will require widespread behavior change to minimize carbon losses through deforestation and degradation and maximize carbon storage on the landscape, and will be complicated by growing pressures on land resources resulting from population growth, consumption patterns, and climate uncertainties. The USG interagency climate change strategy identifies the development challenge as a “transition towards land use practices that store and sequester more carbon than was occurring under previous land use patterns, while maintaining a country’s ability to produce food and conserve land that provides environmental services such as clean water, biodiversity, and cultural and recreational uses” and to “promote land and forest uses that reduce greenhouse gas emissions; conserve land and forested areas that are storing significant amounts of carbon; provide sound governance of land and forest areas to reduce emissions; and provide economic alternatives to wide-spread forest clearing.”⁵ Slowing deforestation and ensuring the sustainable management of forests in the region is therefore one of the most urgent tasks for climate change policy, investment, and action.

Asia’s remaining forests are home to numerous rural and indigenous communities, which are generally socially, economically, and politically marginalized, as well as home to globally significant biodiversity resources. Development of a robust and sustainable REDD-plus framework requires consideration of this broader socioeconomic context and could bring a multitude of co-benefits in addition to mitigating global climate change, including enhancing resilience to climate change impacts; protecting biodiversity and habitats; regulating water quality and supply; providing timber and other resources; and enhancing and developing livelihoods (e.g. ecotourism). Improved forest management will only be achieved if tangible economic incentives are provided in conjunction with meaningful environmental and social safeguards, including upholding the rights of women, indigenous peoples and local communities. The development of markets and mechanisms that are able to promote a range of ecosystem service benefits thus presents a key strategy for the protection and sustainable use of Asia’s forests.

While numerous efforts to build REDD-plus capacities and establish pilot experiences in the region are already underway (i.e. UN-REDD, the World Bank’s Forest Carbon Partnership Facility, bilateral donors, non-governmental organizations, etc.), a coordinated approach to building REDD-plus readiness and to synthesizing and sharing lessons and best practices has generally been limited, and becomes increasingly important as the world moves closer to an international REDD-plus framework. Additionally, certain aspects of REDD-plus implementation and capacity building can benefit from regional cooperation and may more cost-effectively be addressed through regional approaches, including the dissemination and use of international methodologies and standards for greenhouse gas accounting and estimation. Countries in particular geographic regions may share common implementation challenges due to shared

⁴ FAO 2009. State of the World’s Forests 2009.

⁵ FY11.International Climate and Clean Energy Budget Request, November 27, 2009 draft, page 36.

histories, linked economic systems, and similar forest ecosystem types. Regional cooperation would also encourage a platform for beginning to address issues of transboundary leakage, whereby forest protection in one location is simply transferred as deforestation to another location, often across national borders. A number of countries have publicly expressed interest in regional cooperation on REDD-plus to address common challenges in dealing with methodological issues as well as addressing international leakage concerns.

In 2010, RDMA conducted an Asia Regional REDD Program Planning Assessment (<http://www.usaid.gov/rdma/programs/en.html>) of regional opportunities and challenges related to climate change mitigation in the forestry-land use sector, which indicated that there is considerable potential in Asia for meaningful emissions reductions as a result of improved land use practices. However, current capacities were generally found to be quite low and disparate among countries in the region. The fundamental problems that have impeded sound forest management in much of Asia—poor land use planning, unclear land tenure, perverse economic incentives, weak governance and law enforcement, corruption, and lack of community participation—still remain and will need to be overcome in order for REDD-plus to be successful.

3. Program Framework

3.1 Goal and Objectives

The **goal** of the Asia Regional Sustainable Landscapes Program is to achieve **meaningful and sustained reductions in greenhouse gas emissions from the forestry-land use sector in Asia**.

In supporting this overarching goal, the program will pursue the following **objectives**:

- *Establish Policy and Market Incentives for Greenhouse Gas Reductions:*
Illustrative activities include conducting policy and institutional needs assessments; development and implementation of national mitigation strategies and REDD-plus readiness preparation proposals; development and/or reform of REDD-compliant policy initiatives, related laws and regulations (e.g. land tenure, carbon rights, benefit sharing, conflict resolution, forest law enforcement, social and environmental safeguards, etc.); facilitating effective multi-stakeholder and cross-sectoral, intra-governmental processes, including participation of communities, women, indigenous populations, and local civil society organizations; national and sub-national land use planning; and support for regional cooperation and policies addressing regional issues such as leakage and Measuring, Reporting, and Verification (MRV);
- *Build and Institutionalize Technical Capacity for Economic Valuation of Forest Ecosystem Services and Monitoring Changes in Forest Carbon Stocks:*
Illustrative activities include conducting technical capacity needs assessments; training-of-trainers and curriculum development; training and technical assistance on forest carbon accounting methodologies, development of MRV systems and national reference scenarios, and improved land use mapping and planning; development and piloting of innovative and/or new technologies; implementing economic valuation studies of forest resources and cost-benefit analyses of different management approaches; and promotion and valuation of co-benefits (livelihoods and poverty reduction, biodiversity conservation, food security, natural resources management, and climate change adaptation);
- *Demonstrate Innovation in Sustainable Land Management*
Illustrative activities include priority, strategic demonstrations of innovative models, methodologies, and pilot field projects and activities with regional relevance, including sub-national approaches; improving GHG emissions measurement and monitoring; support for exploring business-as-usual emissions and sequestration scenarios and alternative low emissions development pathways in the forest and land use sectors; enhancing

private sector engagement; and creating linkages to inform national policy development from field experiences; and

- *Replicate and Scale-up Innovation through Regional Platforms and Partnerships:*
Illustrative activities include facilitating regional dialogue, learning, sharing, and replication of best practices, models/methods and lessons learned; supporting regular climate change coordination meetings, fora, and events; and coordinating and collaborating with multilateral and bilateral development partners, donors, and organizations including USG agencies, UN agencies, multilateral development banks, national governments and regional bodies such as the Association of Southeast Asian Nations (ASEAN), civil society, and private sector organizations.

3.2 Expected Outcomes

USAID aims for this activity to serve as a groundbreaking initiative demonstrating high-impact achievements on climate change mitigation in the land use sector in Asia. In doing so, this activity is intended to respond to emerging priorities for regional cooperation that may be established under a new international framework under the UNFCCC.

At a minimum, the following results are expected to be achieved through the Program:

- National REDD-plus policy, planning, and institutional frameworks at the national, sub-national, and/or local levels are being implemented to support improved and equitable land management in at least four countries;
- At least three million tons per year of GHG emissions reduced or avoided;
- At least one million hectares of forest lands under improved management;
- Replication of best practices, models, and methodologies in at least six countries; and
- At least \$5 million in domestic and international finances are invested in forest environmental services.

Applicants should demonstrate how the proposed program will meet, and preferably exceed, these minimum expected outcomes.

3.3 Regional Approach for Scale-up and Sustainability of Innovation

A key objective of the program is to replicate and scale-up innovation through one or more regional learning platforms. The regional platform serves as the principal mechanism through which innovative practices and experiences from the pilot activities are shared, replicated, and scaled-up in Asia. It might also facilitate linkages between the outcomes of pilot activities and national and sub-national policy development. The regional platform is fundamental to the sustainability the program and it is important to identify a platform with the capacity to sustain knowledge products and program outcomes after the end of the program. For example, a regional learning platform might be established with an existing regional network, initiative, or organization that serves as a convening platform for sharing information and scaling up innovation in sustainable forest management or Reduced Emissions from Deforestation and Degradation (REDD).

The Applicant should describe how the proposed program activities are designed to demonstrate, scale-up, and sustain innovation through a regional approach, including the following elements:

- Focus on priority challenges that if addressed effectively will lead to “game-changing” progress toward achieving the program goal;
- Engage other program partners to leverage additional resources, identify and replicate successes, and sustain innovative activities. Program partners bring additional resources, tools, methods, contacts, and ideas that strengthen program activities;
- Design country and regional activities with a view to demonstrate and scale-up innovation. Country activities and regional activities should reinforce each other and lead to both country and regional outcomes. Consider

opportunities to demonstrate innovation at a pilot or country level and share experiences and successes through regional learning platforms. Replicate and scale-up innovative practices across Asia, possibly in collaboration with other partners;

- Consider candidates for regional learning platforms, which may already exist through other regional organizations or networks. If appropriate regional learning platforms do not already exist, consider opportunities for establishing new ones;
- Sustain USAID investment and program impacts through regional learning platforms and possibly additional means. These platforms may also serve as mechanisms for promoting regional cooperation, obtaining country commitments for new activities, and forging alliances with private sector and new partners;
- Adopt continual learning and adaptive management in overall program design to respond to new information, opportunities, and feedback and take corrective actions that improve activity performance; and
- Consider other cross-cutting issues, such as social equity and mainstreaming gender considerations, using science-based information and robust data to guide activities, obtaining political commitment from government counterparts, and promoting public participation and transparency.

Regional Initiatives

Applicants should also demonstrate how the proposed program plans to coordinate, cooperate, and/or integrate program activities with regional platforms and initiatives, as appropriate, such as the following illustrative initiatives, programs, and organizations:

UN-REDD

The UN-REDD Programme (<http://www.un-redd.org/>) is a collaborative effort between FAO, UNDP and UNEP to support REDD-plus readiness globally. In Asia, eight countries are currently involved at various levels of engagement, including: Indonesia, Papua New Guinea, and Vietnam (initial pilot countries); Cambodia, Nepal, and Sri Lanka (observer status); and the Philippines and the Solomon Islands (to join). Program activities focus on building capacities at the national level and demonstrating application at the sub-national level.

World Bank Forest Carbon Partnership Facility

Five of the eight UN-REDD target countries are also members of the World Bank's Forest Carbon Partnership Facility (FCPF) (<http://www.forestcarbonpartnership.org/>): Cambodia, Laos, Vietnam, Indonesia, and Papua New Guinea. In addition, FCPF also supports Thailand and Nepal. Readiness activities under the FCPF Readiness Fund have focused on early planning, analytical work and system design, and occur under two phases: (a) Formulation: which includes *Readiness Preparation Idea Note (R-PIN)* and *Readiness Preparation Proposal (R-PP)*, and (b) Preparation: *Readiness Package (R-Package)*.

Asian Development Bank (ADB) Greater Mekong Subregion (GMS)

Under the Asian Development Bank's (ADB) Greater Mekong Subregion (GMS) initiative (<http://www.adb.org/gms/>), Cambodia, China, Laos, Burma, Thailand, and Vietnam share a program of regional economic cooperation, including infrastructure development and trade facilitation to promote the freer flow of goods and people in the subregion. ADB is planning on investing over \$1.3 billion over the next three years in infrastructure, transportation, hydropower, and tourism. The ADB has established the Environment Operations Center (EOC) Core Environment Program (CEP) to address environmental impacts of these investments and is currently planning a Phase II of the program. Over the next several years, ADB is expecting to invest significant resources in REDD-plus readiness and in the forest sector in GMS countries.

ASEAN

ASEAN has recently developed and approved the ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry towards Food Security (AFCC) to contribute to food security through sustainable, efficient and effective use of land, forest, water and aquatic resources by minimizing the risks and impacts of and the contributions to climate change. The specific objectives are (i) coordination on the development of adaptation and mitigation strategies and (ii) cooperation on the implementation of integrated adaptation and mitigation measures. Proposed working modalities for the implementation of the AFCC include an ASEAN Ad-Hoc Steering Committee on Climate Change and Food

Security as well as an AFCC Management Team at the ASEAN Secretariat. GTZ is planning on supporting implementation of this framework under a broader, follow-on program to the recently completed ASEAN-German Regional Forest Programme (ReFOP) (<http://www.aseansec.org/20360.htm>). ReFOP supported the ASEAN Secretariat and ASEAN Member Countries in enhancing regional cooperation in forestry, particularly in timber certification, establishment of forest clearing house mechanism (<http://www.aseanforest-chm.org>), regional standards, peer consultations, strategy development, regional positioning in international fora, and resource mobilization. This program has included two demand-driven regional 'knowledge networks' on Forest Law Enforcement and Governance (FLEG) and Forests and Climate Change (REDD-plus).

Lower Mekong Initiative (LMI)

In July 2009, U.S. Secretary of State Hillary Clinton announced plans for greater U.S. engagement in the areas of environment and climate change, health, education, and infrastructure development in the lower Mekong sub-region through a Lower Mekong Initiative. Specific results include strengthening the ability of the Lower Mekong countries to manage their shared water and natural resources by linking activities to USG climate change policy, with efforts focused on land use, adaptation, clean energy, and building focus on wildlife trafficking and forestry management programs. In addition, activities would promote and enhance infrastructure developments in the region that are consistent with U.S. goals in other priority sectors by ensuring infrastructure projects have maximum impact on regional development with minimum impact on the environment.

3.4 Geographic Target Area

It is anticipated that funds under any resulting agreement(s) may be used to provide assistance to the following countries: Cambodia, Laos, Thailand, Vietnam, Malaysia, Papua New Guinea, Bangladesh, Bhutan, India, Indonesia, Nepal, and the Philippines. Assistance provided to any other country must receive the approval of the Agreement Officer in writing. It is anticipated that field-based demonstration activities may occur in Cambodia, Laos, Thailand, Vietnam, Malaysia, and Papua New Guinea. Additional countries for regional sharing and replication of best practices (but not field-based activities) can potentially include: Bangladesh, Bhutan, India, Indonesia, Nepal, and the Philippines. Program activities expecting to support policy development and implementation of field-based activities in countries with USAID bilateral Missions will necessitate close cooperation with those missions and their programs.

Countries and areas targeted for support should be strategically selected and have significant forested areas under threat of deforestation, with a potential for dramatically increasing carbon storage and sequestration, and with landscapes with high concentrations of existing terrestrial carbon. Priority should be given to countries and landscapes that represent significant carbon emissions from land use activities.

The Applicant should demonstrate the location and nature of proposed activities, rationale for these activities, and whether they will occur at the local, national or regional level, including clear criteria for the selection of field demonstration sites. This would involve strategic selection of forests with high carbon stocks under significant threat, and could also include opportunities for maximizing co-benefits, such as biodiversity conservation, as well as building on past and current investments by USAID and other development partners and organizations. USAID (and the USG) has an extensive portfolio of bilateral and global investments in biodiversity conservation and forest management actions which support and reinforce regional efforts to reduce forest emissions. Proposed activities may aim to link and collaborate directly with these efforts where feasible and practical. In addition, the Applicant should elucidate how field demonstration projects would demonstrate and implement approaches to forest mitigation that achieve impact at scale and are specifically designed to influence larger policy processes. In addition, in accordance with ADS 201.3.9.3., proposed activities must be informed by and reflect the findings of a gender analysis.

Long-term sustainability and replication of best practices and innovation is crucial to program success. The Applicant should demonstrate how the long-term sustainability of results with target beneficiaries and in target landscapes will be achieved, consistent with a regional approach for scale-up and sustainability of innovation through one or more regional learning platforms. For example, a regional learning platform might be established with an existing regional network, initiative, or organization that serves as a convening platform for sharing information and best practices and scaling up innovation in REDD-plus for a broad range of stakeholders. This includes establishing continued financing for required

activities including forest management; assuring local technical capacity is sufficient for implementation of management and development plans; promoting replication of best practices from pilot activities; and the institutionalization of approaches. Applicants should consider addressing potential risks related to sustainability and replication and how those risks would be mitigated.

3.5 Gender

Gender issues are central to the achievement of equitable and sustainable development outcomes, and USAID strives to promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural, and political development; enjoy socially valued resources and rewards; and realize their human rights (ADS 201.3.9.3). In many developing countries, women are the primary users of natural resources such as wood, non-timber forest products, and water, and therefore incur a heavier work burden as a result of disappearing resources brought on by global climate change. When in short supply, women must invest even more time than usual to locate and collect these basic resources needed for survival, with negative impacts on their access to education, engagement in income-generating activities, or health care. Additionally, women are often the stewards of natural resources and are therefore best positioned to help curb the effects of climate change. Due to their historic disadvantages—their restricted access to information and limited power in decision-making—women’s specific knowledge about forest resources and their perspective on forest management has been overlooked⁶. Gender differentiated rights, roles and responsibilities related to forest use need to be analyzed and accounted for in emission reduction strategies, as they have significant implications on the effectiveness of these strategies, as well as the health, food security and well-being of people and communities living in and around forests. This program will therefore support the different roles and status of women and men within communities, including enhancing roles in decision-making and control over resources and services. Addressing gender considerations should be included throughout all aspects of the program, including monitoring and evaluation using disaggregate information by gender and age and addressing the differing impacts on women, children and vulnerable groups.

3.6 Public-Private Partnerships

The private sector plays an important role in forest and land management in Asia and presents a potential source of financial investments in the sector, as well as for carbon offset markets. USAID encourages (although does not require) the development of public-private partnerships to leverage resources. Such partnerships typically include 1:1 matching of financial or non-financial resources (or greater) against USAID funding. USAID views public-private partnerships as important means of enabling corporations, foundations, NGOs, and others to address jointly-defined development challenges, thereby achieving solutions that are not possible for any single partner acting alone. This Global Development Alliance (GDA) public-private partnership model allows USAID to leverage resources from the private sector and other partners and to use those assets in a way that benefits the business interests of the resource partner while furthering the goal of the USAID mission. A GDA typically meets the following criteria:

- At least 1:1 leverage (in cash and in-kind) of USAID resources;
- Common goal defined for all partners;
- Jointly-defined solution to a social or economic development problem;
- Non-traditional resource partners (companies, foundations, etc.);
- Shared resources, risks and results, with a preference for additionality of impact; and
- Innovative, sustainable approaches to development.

Where relevant, Applicants should demonstrate how proposed activities would involve the private sector. Rather than establishing complete public-private partnership arrangements in advance of submitting an application, a sound public-private partnership strategy/approach, if deemed appropriate, may be included at the application stage. USAID recognizes that some activities (e.g. policy reform) may more effectively achieve program objectives without necessarily engaging the private sector.

⁶ UNDP Bureau for Policy Development, Initiative to Integrate Gender into National Climate Change Responses.
<http://www.undp.org/women/TOR-for-Women-and-Climate-Change.doc>

More information on the GDA can be found at: http://www.usaid.gov/our_work/global_partnerships/gda/

3.7 Illustrative Performance Indicators

As an indication of the expected results through this program, and in support of developing a draft Performance Management Plan (PMP), Applicants should consider the following illustrative performance indicators which are derived from the list of *common indicators* established under USAID's Foreign Assistance (F) Framework.⁷ Under the Foreign Assistance Framework, the Program Area for reporting results will be 4.8 Environment, and the Program Element associated with the climate change initiative is 4.8.1 Natural Resources and Biodiversity (sustainable landscapes). New REDD-plus specific USAID standard indicators are currently under development and will be provided to the applicant once finalized for utilization in this program.

Applicants should develop and propose a set of indicators for the program which adequately captures all important dimensions of programmatic performance, progress and impact. The indicators presented below are illustrative only. This list is not inclusive of all possible indicators, and not all indicators listed will necessarily be required or needed in the program's PMP.

- Quantity of GHG emissions, measured in metric tons CO₂ equivalent, reduced or sequestered as a result of USG assistance;
- Number of laws, policies, agreements or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance;
- Number of hectares of forest under improved resources management;
- Number of people receiving USG supported training in global climate change including Framework Convention on Climate Change, greenhouse gas inventories, mitigation, and adaptation analysis;
- Total public and private dollars leveraged for forest mitigation projects;
- Number of government institutions with increased capacity.

Establishing effective performance management plans and systems can be challenging, and it can often be difficult to develop indicators that fully capture programmatic achievements. Examples of key challenges in measuring program impact in GHG mitigation programs include: capturing long-term emissions reductions, emissions reductions that may result from broad policy or behavioral changes at national or subnational levels, and addressing the uncertainty in emissions estimations. Applicants are encouraged to demonstrate creativity and innovation in measuring and monitoring program progress and accomplishments, and may therefore propose custom indicators that are appropriate for measuring success of the program. Additionally, Applicants may include and/or draft indicators to reflect sensitivity to gender and indigenous populations.

4. Program Coordination and Communications

Successful program implementation will require effective coordination, collaboration and communication among a wide variety of organizations and programs in order to maximize benefits and minimize duplication of effort. This is particularly relevant due to the numerous actors involved and the evolving nature of negotiations around a potential global REDD-plus framework. Applicants should therefore address how they plan to coordinate with other stakeholders and development partners and communicate program progress and achievements, including with the following:

- *US Government partners:* USAID/RDMA, USAID bilateral missions implementing forestry programs (e.g. Indonesia, Bangladesh, Philippines, Nepal, Cambodia), US Embassies in target countries, USAID global programs, as well as other US government agencies, including: The US Department of State, U.S. Forest Service (USFS), and U.S. Environmental Protection Agency (EPA). Program activities expecting to support policy development and

⁷ <https://communities.usaidallnet.gov/fa/system/files/Completestlistofindicators.pdf>

implementation of field-based activities in countries with USAID bilateral Missions will necessitate close cooperation with those missions and their programs.

- *USAID Implementing Partners:* These are organizations and contractors working on other USAID-supported activities in the region [e.g. RDMA's Responsible Asia Forestry and Trade (RAFT) Program, RDMA's Asia Regional Biodiversity Conservation Program (ARBCP), USAID Indonesia's Indonesia Forestry and Climate Support Project (IFCAS), and USAID Cambodia's Helping Address Rural Vulnerabilities and Ecosystem Stability (HARVEST)].

In addition, RDMA is planning several new, relevant climate change programs, including:

(1) The Low-Emissions Asian Development (LEAD) Program will address Asia's contribution to global climate change and global GHG emissions by assisting Asian governments, businesses, and others in establishing the key enabling conditions and tools needed to participate in emerging international GHG management frameworks and meet obligations under the Copenhagen Accord. The LEAD Program specifically focuses on building capacity for MRV of GHG emissions, market readiness for increased financing and investment in emissions reduction activities, and development and implementation of Low Emissions Development Strategies (LEDS). Activities will help countries better understand and quantify their greenhouse gas emissions, report those emissions to the United Nations and general public, promote a viable private sector services industry for third party certification, and enhance regional learning through sharing of regional and international best practices. Potential target countries include Bangladesh, Cambodia, China, India, Indonesia, Laos, Malaysia, Nepal, Papua New Guinea, Philippines, Thailand, and Vietnam. Partners in the program will include the U.S. Environmental Protection Agency and the U.S. Department of Energy.

(2) The Mekong River Basin Climate Change Adaptation Program will assist communities to assess the impacts of climate change on the region's agriculture and ecosystems and develop integrated adaptation strategies that strengthen their adaptive capacity with respect to water resources, food security, livelihoods and the needs of vulnerable groups. Pilot interventions addressing agriculture and land use may intersect well with sustainable landscapes approaches and activities. This transboundary project will support the Lower Mekong Initiative and cover Cambodia, Laos, Thailand, and Vietnam.

- *Host Country Government Agencies:* These include key government agencies such as Ministries of Environment, Forestry, Agriculture, Planning, and Finance, among others. Host country government engagement can be highly complex and time-consuming, and yet government support is a foundation for program success. In order to initiate program activities and show program impact as soon as possible after program award, the Applicant should consider how it will engage government counterparts at the appropriate national, provincial, or local levels (or some combination of the three). USAID partners in target countries are responsible for obtaining any government approval required to implement program activities.
- *Relevant Organizations and Institutions:* These include the World Bank, Asian Development Bank, UN agencies, and other donors and development partners.

As part of program communications efforts, Applicants should demonstrate their approach for internal and external communications and outreach. Such plans should be compliant with USAID branding and marking guidelines and rules, and may include products such as a program website, fact sheets, brochures, activity briefs, media advisories and press releases, speeches, newsletters, presentations, photos and graphics, maps and geospatial data, etc.

5. Program Management and Reporting

5.1 Annual Work Plans

The Recipient shall prepare a draft, detailed annual Work Plan for Fiscal Year 2011 within 45 days following award, and subsequent Work Plans 30 days prior to the start of each new Fiscal Year (i.e., August 31). The Work Plan will describe all Program activities and expected outputs, outcomes, and milestones and include a “strategic statement” (brief list of bullets outlining the major programmatic impacts expected over the life of the program). It should be organized in a manner that describes overarching (performance management-based) intermediate results in connection with programmatic inputs (program activities), outputs (process-based results such as people trained), and outcomes (transformative results reflecting changed behaviors). Annual Work Plans will also describe how activities in a given year will lead to further activities and outcomes in subsequent/remaining years, as well as how activities are leading towards long-term sustainability of program impacts. The annual Work Plan will be accompanied by and closely integrated with the Performance Management Plan. The AOTR will approve the Annual Work Plan.

5.2 Performance Monitoring, Evaluation, and Reporting

Performance-based monitoring and evaluation (M&E) services are essential for ensuring management and results achievement of this multi-faceted initiative. The Recipient should describe the method they will use to monitor, collect data, and identify best practices and share information from the program, including the collection and monitoring of baseline data to allow for impact evaluation. The system should facilitate flexibility in program implementation to allow corrections and ensure identification of successful approaches having significant impact that could be scaled-up. For example, the Recipient may want to consider enhanced project monitoring methodologies to obtain, analyze, use and share meaningful information on REDD-plus trends, issues and solutions in Asia and apply this information to the refinement of the project approach during implementation. This effort will improve the program’s ability to learn from implementation experiences of this project and others, use the knowledge obtained to enhance future strategic decisions about program design, focus, implementation and scale. This information feedback may result in adjustments to specific ongoing activities.

The Recipient’s Monitoring and Evaluation program should be inclusive of an illustrative Performance Management Plan (PMP). The program should adopt indicators in its PMP that quantify the extent to which its component program elements are contributing to the main objectives and allow for the tracking of progress made towards achieving those objectives. Within 60 days following award, the Recipient will deliver a draft PMP that establishes concrete measures for achieving and capturing results.

The PMP should include introductory sections providing: a summary of indicators and targets (table format); an overall performance management framework; a description and table showing linkages between the PMP and annual Work Plans; an overview of the Recipient’s data collection and reporting process and systems; and detailed indicator tables. Indicator tables will follow the format provided in Attachment A, which follows the standard format of the F Framework, and include annual targets for the life of the program, definition of the indicator, a description of the data collection process, and details on the underlying assumptions or calculation methodologies that form the basis of indicator targets, as applicable. While the majority of USAID PMPs rely on quantitative measures of performance, the Recipient is encouraged to consider incorporating qualitative performance measures as part of its PMP. As part of the M&E program, the Recipient should disaggregate information by gender and age and should provide an analysis of the differing impacts on women, children and vulnerable groups. The AOTR will approve the final PMP.

5.3 Quarterly and Annual Reporting

Based on the PMP, and as part of USAID’s Performance Review and Annual Report process, the Recipient will submit Quarterly and Annual Progress Reports, describing major program results towards achieving expected results, success stories, any problems encountered, and plans for the following quarter and year. Performance Management Progress Reports will consist of both narrative and quantitative sections (indicator tables). All results should be reported by country and for the region as a whole. Final drafts of the Quarterly and Annual reports will be due by January 31, April 30, July 31 and October 31 of each implementation year, respectively. However, due to USAID’s and the State Department’s reporting schedules, annual performance management information will often be required earlier than October 31 of each year.

Quarterly Progress Reports. The Recipient shall prepare and submit to the RDMA AOTR quarterly reports that summarize progress in relation to agreed upon targets contained in the Annual Work Plan, and will specify any problems encountered and indicate resolutions or proposed corrective actions; the status of activities and deliverables and the date of their completion/submission to RDMA; changes to personnel; and other relevant issues. For each action, the Recipient shall designate responsible parties and establish a timeframe for completion. The report shall list activities proposed for the next quarter, noting where they deviate from the approved Annual Work Plan.

The fourth Quarterly Report shall be combined with the Annual Report and submitted at the same time. There are thus only three Quarterly Reports due each year.

Annual Reports. The Recipient shall submit an annual report covering activities of the previous USG fiscal year. The Recipient shall provide a succinct presentation of Program achievements, objectives, and targets in the previous year, with supporting discussion to explain any shortfalls. The Recipient shall summarize progress, provide an analysis of impact based on activities completed or in progress, identify success stories, and suggest resolution of any outstanding issues.

The Annual Reports shall provide data for incorporation into USAID's annual reporting, as relevant. In this context, annual reports shall include a performance indicator data table presenting the baseline, targets established for each fiscal year, and the actual annual performance data using indicators from the PMP.

In quarterly and annual reports, the Recipient should fully describe what success in the program would look like after five years and demonstrate the ability to achieve those results. This should include the monitoring of and reporting on milestone events that would help demonstrate progress towards the descriptions of five-year success. Achievement of major milestones, as they relate to the description of success, should also be articulated. Additional information to be addressed in performance reports includes: a comparison of actual accomplishments with the goals and objectives established for the period, reasons why established goals were not met, if appropriate, and other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Quarterly Accruals Reports. The Recipient shall submit a spreadsheet showing cumulative disbursements and estimated (undisbursed) accruals to the AOTR in accordance with the schedule specified by RDMA.

Final Report. The Recipient shall prepare and submit a Final Program Report to the AOTR summarizing overall program achievements within 90 days of program completion. This report shall contain a summary and discussion of all activities conducted under the Agreement, the results achieved, complete data from the performance monitoring and evaluation plan, and the impact of the activity. The Recipient should submit the monitoring of and reporting on significant milestone events that would help demonstrate progress towards the description of program success, including the final targets, data sources, collection methods, and baseline information or a timeline for collecting it. This should include narrative descriptions of success at the program end. This report should not exceed 60 pages, although Annexes may be appended.

6. Special Considerations

Section 7081 of the FY 2010 Foreign Operations Appropriations Act (FOAA) contains restrictions on supporting industrial-scale logging, specifically “...*That none of the funds appropriated by this Act may be made available, directly or indirectly, to support industrial-scale logging or other industrial-scale resource extraction or sector reform that would promote these activities...*” This restriction intends to conserve biodiversity in natural forests, slow deforestation, and improve development outcomes for local communities. The restriction applies specifically to industrial-scale logging in natural tropical forests, and does not apply to tree plantations or forestry activities intended to benefit local communities. Supporting or promoting industrial-scale logging refers to activities intended to subsidize or favor the progression or expansion of industrial-scale logging. Activities which may be of special concern include subsidization of industrial-scale logging; providing services to industrial-scale logging that are not provided equitably to other actors and may provide an advantage to these actors; and sector-reform, land use planning, or forest management plans that expand industrial-scale logging. The requirements of this restriction must be met in this and all USAID programs. Public

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outreach documents regarding USAID forestry projects should emphasize a community-based approach that does not subsidize or provide special services for industrial-scale logging. Close coordination with RDMA is required to ensure compliance with this restriction and to remain up-to-date of the latest guidance and changing conditions as appropriate.

Attachment A - Performance Management Plan Guidance

The Applicant will prepare an abbreviated draft PMP to accompany the technical approach as an attachment. The draft PMP will include an overview table listing intermediate results, indicators, and targets for each indicator, by year, to be achieved during the life of the program. Annual targets for each indicator are to be estimated and will be evaluated based on reasonableness, feasibility, and potential impact in achieving program goals and objectives. USAID/RDMA programs each typically have between eight and 16 indicators. Indicators should be selected which describe program successes as comprehensively as possible and enable continual monitoring of performance. Among the indicators used in the PMP, at least one must be a standard F indicator addressing climate change, and more are encouraged. Data collection and monitoring of indicator targets should be disaggregated by sex where appropriate. Additionally, applicants should include and/or draft indicators to reflect sensitivity to gender and indigenous populations. Illustrative indicators are provided as follows, although the Applicant may suggest alternative indicators in the technical proposal, as appropriate. The Program falls under the U.S. Government's Foreign Assistance (F) Framework under Program Element 4.8.1 Natural Resources and Biodiversity.

A.1 Illustrative Indicators

Human Capacity Building (Training)

- Number of people receiving USG supported training in global climate change including Framework Convention on Climate Change, greenhouse gas inventories, mitigation, and adaptation analysis (F indicator)
- Number of people receiving USG supported training

Institutional Capacity Building

- Number of key local, regional and national institutions with increased capacity as a result of USG assistance
- Number of key local, regional, and national institutions effectively applying protocols and tools as a result of USG assistance

Policy Reform

- Number of laws, policies, agreements or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance (F indicator)
- Number of regional, national, or subnational strategies or plans prepared, adopted, or implemented as a result of USG assistance

Funding Catalyzed and Leveraged

- Dollars invested through carbon financing in companies or projects applying high-quality MRV systems developed/used as a result of USG assistance
- Amount of funds from non-USAID sources mobilized and applied

Improved Practices and Reduced Emissions

- Quantity of greenhouse gas emissions, measured in metric tons of CO₂ equivalent, reduced or sequestered as a result of USG assistance (F indicator)
- Quantity of greenhouse gas emissions, measured in metric tons of CO₂ equivalent, reduced or sequestered as a result of USG assistance in natural resources management, agriculture, and/or biodiversity sectors (F indicator)
- Committed GHG reductions, measured in metric tons CO₂ equivalent, as a result of USG assistance (over X years)
- Number of hectares under improved management

Regional Impact

- Number of model actions replicated
- Number of regional platforms strengthened

Note, all F indicators are standard and cannot be revised. The Applicant is encouraged to improve upon the custom (non-F) indicators above as appropriate. Innovative thinking in measuring and reporting program performance overall is strongly encouraged.

A.2 Sample Indicator Table

Inserted below is a sample indicator table template to be used for each indicator used in a PMP. This template should be used in developing the draft PMP in response to the RFA and, following successful award, draft and final PMPs. For purposes of the RFA, it will not be necessary to complete and include sections in the draft PMP for “data sources,” “data verification,” “measurement notes,” or “indicator applies to.”

Following award, the Applicant will be able to adapt this exact template in reporting quarterly and annual results by completing the “Actual” sections of the table at the top and the table(s) that are included under “Summary of Targets (disaggregated).”

Indicator [Number]. [Title]

	FY2011	FY2012	FY2013	FY2014	FY2015	Total
Target						
Actual						
Definition: [In cases where a Foreign Assistance Framework indicator is being used, use the exact indicator definition provided in the Foreign Assistance Framework. Otherwise, provide a concise but specific definition of what the indicator is measuring.]						
Rationale: [Address the rationale behind adopting and using this indicator as a means of demonstrating program performance.]						
Unit of Measure: [Provide the unit of measure for the indicator, e.g., metric tons of carbon dioxide equivalent; people trained; etc.]			Disaggregated by: [For example, by gender, by country/location, by sector, etc. List as many areas as appropriate by which data will be disaggregated.]			
Type: Output/Outcome			Direction of Change: [For example, “Higher = better”]			
* Data Sources: [Identify specific institutional sources of results information to be reported under this indicator, such as country counterparts, contractor, etc.]						
* Data verification: [Provide a detailed explanation of the process to be used to verify data used in determining results for this indicator.]						
* Measurement Notes: [Describe any additional information related to measuring]						
* Indicator Applies to: Program Components (1) [List relevant program components/activities here] (2) [etc.]						
Summary of Targets (disaggregated): [Include a summary (such as the table below) with disaggregation in specific items as applicable.]						
Target	FY2011	FY2012	FY2013	FY2014	FY2015	Total
[Item A]						

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[Item B, etc.]					
Target Total					
Actual	FY2011	FY2012	FY2013	FY2014	Total
[Item A]					
[Item B, etc.]					
Actual Total					

[This section should also include discussion of the estimation methodology for targets, the basis for target estimated, and specific data calculation and estimation methodologies, as applicable. An explanation of any baselines being adopted to establish future targets should also be described here. Please footnote to explain technical details or provide citations of technical sources, as applicable.]

* Sections marked with an asterisk are optional (not required to be completed) as part of draft PMP submitted with proposals in response to this RFA. All sections in the table above will be required as part of the full Program PMP prepared after award.

SECTION D - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

PART I - CERTIFICATIONS AND ASSURANCES

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

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

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

- (1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to

any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about:

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal

contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

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

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the applicant has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to

USAID-RDMA-RFA

purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION
(Generic) QUANTITY ESTIMATED UNIT COST

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

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

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

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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(h) The source and origin of procurements under this agreement will be subject to the Standard Provisions titled “USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)” and “Local Procurement”.

6. PAST PERFORMANCE REFERENCES

On a continuation page or as part of your cost proposal, please provide a list of the U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., received during the last three years, and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

PART III - STANDARD PROVISIONS

1. Mandatory Standard Provisions for U.S. Nongovernmental recipients can be accessed through USAID’s website <http://www.usaid.gov/policy/ads/300/refindx3.htm>

Mandatory Standard Provisions for Non-U.S., Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/refindx3.htm>

2. SF 424 Application For Federal Assistance Website: This form can be downloaded on USAID website at: http://www.usaid.gov/procurement_bus_opp/procurement/forms.

ATTACHMENTS

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred,

ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

[not required to be completed pre-award].

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

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182). _____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

End of RFA.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

Yes No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes No

5. Is the applicant a non-religious community based organization?

Yes No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes No

8. Is the applicant a local affiliate of a national organization?

Yes No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.