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Subject: **NOTICE OF FUNDING OPPORTUNITY (NOFO) NUMBER 72049220RFA00003**

Program Title: **Sustainable Coastal Fisheries Management Activity in the Pacific Region**

Catalog of Federal Domestic Assistance (CFDA) Number: **98.001**

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified U.S. and Non-U.S. non-profit or for-profit Non-Governmental Organizations (NGOs), and other qualified non-U.S. organizations to implement a project entitled “Sustainable Coastal Fisheries Management.” Eligibility for this award is not restricted.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet the eligibility standards in Section C of this NOFO. This funding opportunity is posted at www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID intends to make an award to the applicant who best meets the objectives of this funding opportunity based on the Merit Review Criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly and from beginning to end to understand the type of program sought, application submission requirements and selection process. This NOFO will utilize a two-phased process. The result of this NOFO is expected to be one (1) award, although USAID reserves the right to fund any or none of the applications submitted.

<u>USAID will not award to an applicant unless the applicant has complied with all applicable unique identifier and System for Award Management (SAM) requirements detailed below</u>. The registration process may take many weeks to complete; therefore, Applicants are encouraged to begin registration early in the process.

Any questions concerning this NOFO should be submitted in writing to the point(s) of contact identified in Section D.1. The deadline for questions is shown above. Responses to the questions received by the cut-off date and time will be made available to all applicants through an amendment to this NOFO which will be posted in www.grants.gov.

Issuance of this NOFO does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in the preparation and submission of an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Ethan Takahashi Digitally signed by Ethan Takahashi Date: 2020.09.08 16:36:09 +08'00'

Ethan Takahashi
Agreement Officer
Regional Office of Acquisition and Assistance

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SECTION A – PROGRAM DESCRIPTION

A.1 AUTHORITY

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

A.1.a Title

The activity will be entitled as part of the application process described below.

A.1.b Summary

This five-year Sustainable Coastal Fisheries Management Activity in the Pacific Region seeks to address the drivers of illegal, unreported, and unregulated (IUU) fishing that are degrading coastal fisheries and biodiversity and negatively impacting local livelihoods, food stability, and maritime security. Through this cooperative agreement, the United States Agency for International Development, Pacific Islands (USAID/Pacific Islands) looks to co-develop an activity to support sustainable coastal fisheries and protection of associated coastal and marine ecosystems in the Pacific Islands Region. While the primary focus is on coastal fisheries, this activity considers the ecological connection of coastal and oceanic fisheries and thus seeks solutions to challenges of IUU fishing across the Pacific.

This activity will support the overall development goal of increasing the self-reliance of Pacific Island partners. At the penultimate level, this activity will improve the quality of life for Pacific Islanders by increasing ecosystem services and resilience at both the ecosystem and community level. This will be done in connection with ensuring a free and open environment for the people of the Pacific Islands, and the implementation of safeguards to secure the natural capital associated with their coastal marine resources. Integrating private sector partners, civil society organizations (CSO), and various levels of governmental stakeholders will ensure long-term success of the program and a way to establish and foster partnerships within and between Pacific communities to reach this goal.

A.2 PROBLEM ANALYSIS AND OVERVIEW

A.2.a Geographical Context

USAID partner Pacific Island Countries (PICs) consists of 12 sovereign nations: 1) Federated States of Micronesia (FSM); 2) Fiji; 3) Kiribati; 4) Nauru; 5) Palau; 6) Papua New Guinea (PNG); 7) Republic of the Marshall Islands (RMI); 8) Samoa; 9) Solomon Islands; 10) Tonga; 11) Tuvalu; and 12) Vanuatu. These PICs are broken down into the three sub-regions of

Melanesia, Micronesia, and Polynesia[1]. Given the vast distances and number of countries in the Pacific Region, and for the purposes of this activity, USAID is considering a geographic focus in the sub regions of Micronesia and Melanesia. In Micronesia, the countries of the Federated States of Micronesia, the Marshall Islands, and Palau are of interest; for Melanesia, the countries are Papua New Guinea, the Solomon Islands, and Vanuatu are also of interest. These countries all have historic ties to the United States as well as productive fisheries and significant biodiversity.

The region that contains the PICs is a large area of the Pacific Ocean that is important for global stability and trade, economics, shipping, and fisheries. In particular, fisheries in the region supply a large portion of the global fish trade on Earth[2], which underpin many of the livelihoods found for people within the region, and the Global Domestic Product (GDP) for those nations[3]. The PICs identify as the "Blue Pacific" together to highlight the importance of the economic and natural resources linkages. Being the nations that make up Oceania in the Pacific Ocean, the Blue Pacific group nomenclature provides a shared vision for leadership within the region and leverages the multiple smaller nation states into a collective unit. The PICs vision for the region is one of peace, harmony, security, social inclusion, and prosperity, so that all Pacific people can lead free, healthy, and productive lives[4]. This is mirrored by the U.S. Government's goal for a free, open, and independent Pacific region.

A.2.b Coastal Fisheries

Fisheries drive Pacific economies and serve as the backbone of food security in the region. These fisheries within the various Exclusive Economic Zones (EEZs) of the PICs can be generally considered to be pelagic or coastally oriented. In the pelagic context, waters of PICs supply some 34 percent of the global tuna catch each year[5]. Coastal fisheries are generally smaller in volume than their pelagic counterparts[6] [7] [8], and typically have lower total international revenues when compared to pelagic fisheries for highly migratory species like tuna. However, these coastal fisheries still provide annual revenues valued at approximately $272 million for PICs[9].

Donor agencies and partners have already started to take a multi-pronged approach to advance community-based and ecosystem approaches to fisheries management. The data-poor, undervalued, and underappreciated coastal fisheries sector is often exploited unsustainably from a number of various actors[10]. The rapid economic growth of Asian nations and accompanying

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[1] McKnight, T.L., 1995. *Oceania: The geography of Australia, New Zealand, and the Pacific Islands.* Englewood Cliffs: Prentice Hall.
[2] Gillet, R., 2016. Fisheries in the Economies of Pacific Island Countries and Territories. Noumea, New Caledonia: Pacific Community.
[3] Badjeck, M.C., Allison, E.H., Halls, A.S. and Dulvy, N.K., 2010. Impacts of climate variability and change on fishery-based livelihoods. *Marine policy*, *34*(3), pp.375-383.
[4] https://www.forumsec.org/pacific-regionalism/
[5] http://www.spc.int/updates/news/2019/12/healthy-tuna-stocks-in-the-pacific-pave-the-way-for-strategic-sustainable
[6] Lowe, M.K., Quach, M.M., Brousseau, K.R. and Tomita, A.S., 2016. Fishery Statistics of the Western Pacific. *Pac Islands Fish Sci Cent Admin Rep*., Volume 29
[7] Lowe, M.K., Quach, M., Brousseau, K.R., Tomita, A.S. and Matthews, T.E., 2016. Fishery Statistics of the Western Pacific, *Pac Islands Fish Sci Cent Admin Rep*. Volume 30.
[8] Lowe, M.K., Quach, M., Brousseau, K.R., Tomita, A.S. and Matthews, T.E., 2016. Fishery Statistics of the Western Pacific, *Pac Islands Fish Sci Cent Admin Rep*. Volume 31=.
[9] https://fame1.spc.int/en/publications/roadmap-a-report-cards
[10] Palomares, M.L., Froese, R., Derrick, B., Nöel, S.L., Tsui, G., Woroniak, J. and Pauly, D., 2018. A preliminary global assessment of the status of exploited marine fish and invertebrate populations.

increased demand for seafood further threatens coastal fisheries[11]. Illegal and illicit activities will continue to thrive among weak country-level institutions, and weak regional institutions will perpetuate the ineffective management of these important resources[12].

Coastal fisheries are also important for food security and livelihoods within the PICs. Coastal fisheries supply up to 90 percent of the animal-sourced protein consumed in Pacific households[13]. Due to the sparsely populated and limited landmasses of PICs, a majority of Pacific Islanders live within the coastal zone and rely heavily on coastal fisheries for daily food and livelihoods. The geography and remoteness of the PICs limits economic opportunities; coastal fisheries become a local livelihood that is easy to access, provides food security, and is based on the cultural knowledge and lifestyle of the Pacific Islands peoples[14].

The Pacific region's dispersed land among its vast waters pose many challenges for fisheries management. Fisheries governance is characterized by weak and uneven institutional capacity to undertake sound planning, enforce management measures, and engage with stakeholders[15]. Weak institutions perpetuate ineffective monitoring, control, and surveillance (MCS) of fisheries that disadvantages legitimate businesses. Poor governance systems and the lack of incentives for legal and sustainable seafood drive unsustainable fishing[16]. Loss of primary natural resources through lack of safeguards on fisheries and other living marine resources (LMRs) directly impacts livelihoods, local community resilience, and the economic stability of national governments within the PICs.

While the Pacific contributes significantly to the world's seafood production, illegal, unreported, and unregulated (IUU) fishing has devastating effects on the overall health of the region's fisheries and biodiversity. The problem depresses the contribution of fisheries to the region's economic growth and poses threats to maritime security[17]. This increase in IUU also directly competes with food security for Pacific Islanders and community resilience. The PICs face the double burden of malnutrition with a high prevalence of nutrition-related diseases such as diabetes, obesity, heart diseases, and some cancers[18]. Micronutrient deficiencies from lack of protein intake is now prevalent among a number of the PICs where their coastal natural resources are being exploited by IUU and other business practices that do not operate sustainably.

IUU fishing is a major challenge in Pacific fisheries. It is extremely difficult to have accurate estimates on the quantity and value of IUU fishing in the region and determine the extent of its economic, social and environmental impacts[17]. While IUU fishing is problematic to detect when it happens on the high seas, IUU fishing practices also happen in coastal fisheries where it is

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[11] Dey, M.M., Garcia, Y.T., Praduman, K., Piumsombun, S., Haque, M.S., Li, L., Radam, A., Senaratne, A., Khiem, N.T. and Koeshendrajana, S., 2008. Demand for fish in Asia: a cross-country analysis. *Australian Journal of Agricultural and Resource Economics*, *52*(3), pp.321-338.
[12] Walton, G.W. and Dinnen, S., 2019. The Pacific Islands: politics, organised crime and corruption. In *Handbook of Organised Crime and Politics*. Edward Elgar Publishing.
[13] Food and Agriculture Organization of the United Nations. 2012. The state of world fisheries and aquaculture. FAO, Rome.
[14] Bell, J.D., M. Kronen, A. Vunisea, W.J. Nash, G. Keeble, A. Demmke, S. Pontifex, and S. Andréfoue¨t. 2009. Planning the use of fish for food security in the Pacific. *Marine Policy* 33:64 – 76.
[15] Chuenpagdee, R. and Jentoft, S., 2018. Transforming the governance of small-scale fisheries. *Maritime Studies*, *17*(1), pp.101-115.
[16] Hanich, Q. and Tsamenyi, M., 2009. Managing fisheries and corruption in the Pacific Islands region. *Marine Policy*, *33*(2), pp.386-392.
[17] Pacific, M.A., 2016. Towards the quantification of illegal, unreported and unregulated (IUU) fishing in the Pacific Islands region. In *101pp. Report for the Pacific Islands Forum Fisheries Agency (FFA) DevFish II Project*.
[18] Peng, W., Mu, Y., Hu, Y., Li, B., Raman, J. and Sui, Z., 2019. Double Burden of Malnutrition in the Asia-Pacific Region—A Systematic Review and Meta-analysis. *Journal of Epidemiology and Global Health*.

difficult to detect because the resource users are varied and geographically dispersed[19]. There are also incidences of illegal intrusion of foreign vessels into Pacific coastal waters such as the Vietnamese "blue boats" in Palau, Micronesia, PNG, and New Caledonia[20]. IUU fishing translates to loss of government income that could otherwise be used for development services. One example has been the overharvesting and poaching of sea cucumbers in many Pacific countries[21], with a majority of those destined for Asian markets, particularly within China[22]. IUU fishing undermines local livelihoods and leads to food insecurity while also directly undermining stability and security.

A.2.c Biodiversity

Pacific marine diversity is some of the highest in the world and contributes to the natural resource security necessary for the PICs. Pacific waters house some of the most extensive and diverse reef systems in the world, including the Coral Triangle, an area with the earth's greatest marine biodiversity[23]. These extensive reef systems are connected to the coastal mangroves and seagrass areas to provide an interconnected area of high biodiversity that supports vibrant coastal fisheries[24]. Several threats to the important biodiversity of the PICs exist, including IUU fishing, eutrophication, port-activity, and sea surface temperature.

With increasing IUU fishing, the primary threat is to fish stocks that are the target of removal for either illegal markets or from unsustainable pressure. Some of the methods used in IUU fishing also present other direct risks to biodiversity in the marine environment. The use of certain fishing gear (e.g., gill nets, trawls) is indiscriminate and has high bycatch levels that limit the catch effectiveness of the fishery as well as degrading the biodiversity overall[25]. For coastal and reef areas in particular, some destructive methods used in IUU fishing (e.g., explosives/dynamite, cyanide, beam trawls) not only remove marine life from the environment but damage the structure of the reefs themselves[25].

The main nutrients associated with biological productivity in marine systems are nitrates, phosphates, and silicates. Variations in the supply of nutrients have been observed in the world's oceans over the last several years. As human populations increase, human-induced nutrient loading also increases, and these originate from point and non-point sources[26] [27]. Point sources include human generated waste-water effluents, while nonpoint sources are usually associated with diffuse entry through land-use practices, such as agriculture, and coastal mining. Increasing

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[19] Lestari, D.I., Putra, A.R. and Larasuci, A.Y., 2020. The main consequences of continued illegal, unreported, and unregulated (IUU) fishing within Indonesian waters for maritime security actors and coastal communities. *Research, Society and Development*, *9*(1), p.24911566.
[20] Song, A.M., Hoang, V.T., Cohen, P.J., Aqorau, T. and Morrison, T.H., 2019. 'Blue boats' and 'reef robbers': A new maritime security threat for the Asia Pacific?. *Asia Pacific Viewpoint*, *60*(3), pp.310-324.
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[23] Hoeksema, B.W., 2007. Delineation of the Indo-Malayan centre of maximum marine biodiversity: the Coral Triangle. In *Biogeography, time, and place: distributions, barriers, and islands* (pp. 117-178). Springer, Dordrecht.
[24] Dorenbosch, M., Grol, M.G.G., Christianen, M.J.A., Nagelkerken, I. and Van Der Velde, G., 2005. Indo-Pacific seagrass beds and mangroves contribute to fish density and diversity on adjacent coral reefs. *Marine Ecology Progress Series*, *302*, pp.63-76.
[25] Lampe, M., Demmalino, E.B., Neil, M. and Jompa, J., 2017. Main Drivers And Alternative Solutions For Destructive Fishing In South Sulawesi-Indonesia: Lessons Learned From Spermonde Archipelago, Taka Bonerate, And Sembilan Island. *Sci. Int. Lahore*, *29*, pp.159-67.
[26] Duprey, N.N., Yasuhara, M. and Baker, D.M., 2016. Reefs of tomorrow: eutrophication reduces coral biodiversity in an urbanized seascape. *Global change biology*, *22*(11), pp.3550-3565.
[27] Miyajima, T., Morimoto, N., Nakamura, T., Yamamoto, T., Watanabe, A. and Nadaoka, K., 2016. Atmospheric deposition of reactive nitrogen as a regional-scale eutrophication stress on the coral reef ecosystem. In *Coral Reef Science* (pp. 95-101). Springer, Tokyo.

these sources of nutrients results in eutrophication that can lead to hypoxic or anoxic areas. These "dead-zones" can result in high mortality for all life in the area, particularly sessile organisms associated with reefs[28].

The Pacific Islands region has a high volume of movement related to shipping, fishing, and transit vessel activity. Given the increasing interconnected nature of PICs and future development in the region, these activities are expected to increase over the coming decades. This gives rise to both ship-based and oil-based pollution concerns[29]. Moreover, the emptying of ballast water tanks from certain ships could introduce species which are harmful to the balance of many of the endemic reefs in the Pacific Islands region[30].

Water temperature is a major component of species distributions in the marine environment. This affects both the abundance and the distribution. With warming water and increasing ocean acidification, there is increasing coral bleaching events that threaten the survival of these important ecosystems[31]. The changing patterns of oceanographic currents from stronger pycnoclines also limits potential recruitment and may limit the ability of certain ecosystems and reefs to bring enough new genetic material which would limit diversity over time[32]. These effects work together or independently to potentially limit the resilience of the diverse ecosystems of the Pacific Islands.

A.2.d Climate Change

The unique development context of the PICs places them on the front lines of a variety of worldwide challenges, the most important of which is climate change. PICs articulated in the Boe Declaration that climate change is the single greatest threat to their security.[33] In August 2019, PICs reaffirmed that climate and disaster resilience is their top priority to securing the future of the Blue Pacific. PICs also identified the protection of the Pacific Ocean's health and integrity and sustainable management of island and ocean resources to be of high priority for securing their future.

Climate change significantly affects communities of Pacific island nations, with impacts including sea level rise, bleaching of corals, loss of wetlands, flooding, erosion and endangerment of mangroves, among others[34]. Other marine impacts include rising ocean temperatures, changes in the El Nino Southern Oscillation, ocean acidification, and damage to corals, which are expected to affect fish migration and abundance patterns and lead to a decline in fisheries production in tropical oceans and a decline in coastal protective capacity of island nations[35].

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[28] Altieri, A.H., Harrison, S.B., Seemann, J., Collin, R., Diaz, R.J. and Knowlton, N., 2017. Tropical dead zones and mass mortalities on coral reefs. *Proceedings of the National Academy of Sciences*, *114*(14), pp.3660-3665.
[29] Burke, L.M., Reytar, K., Spalding, M. and Perry, A., 2017. Reefs at risk revisited: World Resources Institute.
[30] Saglam, H. and Duzgunes, E., 2018. Effect of Ballast Water on Marine Ecosystem. In *Exergy for A Better Environment and Improved Sustainability 2* (pp. 373-382). Springer, Cham.
[31] Rodgers, G.G., Donelson, J.M., McCormick, M.I. and Munday, P.L., 2018. *Marine Biology*, *165*(4), p.73.
[32] Richmond, R.H., Tisthammer, K.H. and Spies, N.P., 2018. The effects of anthropogenic stressors on reproduction and recruitment of corals and reef. *Frontiers in Marine Science*, *5*, p.226.
[33] https://www.forumsec.org/boe-declaration-on-regional-security/
[34] SIMCTA 2004, SMNREM 2005, UNFCCC 2011.
[35] Mimura 2007, FAO 2008

The effects on the natural resources under various climate scenarios for the PICs show a drastic reduction in those ecosystem services. For coastal fisheries, and primarily those that rely on the nearshore reef environments, productivity decreases up to 20% are expected by 2050[36]. In terms of other coastal and nearshore fisheries, there are expected to be decreases in their distribution, size, and numbers[37]. Mangroves, that serve as nursery grounds for many fish species, under climate change projections in the PICs are expected to see losses of 50-70% by 2050 as well[36]. This is combined with increasing storm activity that could reduce the seagrass habitats that are essential for fisheries by as much as 35%[38].

The Pacific region's diverse island nations and territories are considered the most vulnerable in the world to climate change. Meanwhile, PICs experience a wide range of hazards, including typhoons, floods, drought, earthquakes, tsunamis and volcanic eruptions. Pacific island economies depend primarily on tourism, fisheries, forestry and agriculture, all of which are highly exposed and sensitive to climate change and disasters. The Pacific Islands' Framework for Action on Climate Change states that: "Reducing the risks associated with the impacts of extreme weather and climate variability…must be urgently addressed in order to contribute to improving livelihoods, economic well-being and health as well as maintaining biodiversity and culture"[39].

Many Pacific islands depend on fisheries as one of the main sources of their income, foreign exchange, and economic livelihood. Changes in climate are likely to hurt fisheries. With the importance of fish protein for food security, and a significant portion of these fishery resources coming from coral reefs, loss of food security from climate change is a real possibility for PICs in the coming years[40].

Tourism is a leading economic activity for many Pacific islands that is often based on natural ecosystems: coral reef exploration, boating, and fishing. The adverse effects of climate change pose serious threats to economic development and the livelihoods of citizens due to beach erosion, damage to coastal infrastructure, bleaching of coral reefs, and reduced access to freshwater sources.[41]

A.2.e Cultural Context

The Pacific region is composed of a broad range of human cultures and biodiverse marine ecosystems which are interrelated into complex socio-ecological systems with varying characteristics and contexts. The individual communities among the many islands of the Pacific Islands region utilize the marine environment and the resources therein for food security,

[36] Bell, J.D., Cisneros-Montemayor, A., Hanich, Q., Johnson, J.E., Lehodey, P., Moore, B.R., Pratchett, M.S., Reygondeau, G., Senina, I., Virdin, J. and Wabnitz, C.C., 2018. Adaptations to maintain the contributions of small-scale fisheries to food security in the Pacific Islands. *Marine Policy*, *88*, pp.303-314.

[37] Pratchett, M.S., Cameron, D.S., Donelson, J., Evans, L., Frisch, A.J., Hobday, A.J., Hoey, A.S., Marshall, N.A., Messmer, V., Munday, P.L. and Pears, R., 2017. Effects of climate change on coral grouper (Plectropomus spp.) and possible adaptation options. *Reviews in Fish Biology and Fisheries*, *27*(2), pp.297-316.

[38] Hoegh-Guldberg, O., Andréfouët, S., Fabricius, K.E., Diaz-Pulido, G., Lough, J.M., Marshall, P.A. and Pratchett, M.S., 2011. Vulnerability of coral reefs in the tropical Pacific to climate change. *Vulnerability of tropical Pacific fisheries and aquaculture to climate change*, pp.251-296.

[39] SPREP 2005

[40] FAO 2008, UNFCCC 2011

[41] OXFAM 2009, Hiller-Garvey, 2010, ESCAP 2010.

livelihoods, and cultural continuity[42]. This cultural reliance on the ocean has been a part of the cultural history and identity of these communities for centuries. These archipelago communities also have traditional means and local customs on managing of their local marine resources[43]. This is particularly true for the small-scale artisanal fisheries comprising the near shore and coastal areas.

Fisheries, particularly small-scale coastal resources, and the act of harvesting resources from the ocean are important to the sociocultural and heritage identities of local Pacific Island communities. These resources are so entwined with the local culture that for many islands they represent the primary source of protein, and fishing is primarily done for local consumption in most rural and coastal households, with high levels: 83% of the Solomon Islands, 35% of Vanuatu, 99% of Kiribati, and 87% of Marshall Islands[44]. Moreover, there is an ever-increasing gap between the amount of fish protein required for good nutrition to avoid health problems, and the amount harvested from coastal fisheries[45]. These attributes mean the Pacific must be understood in terms of the hyperlocal context, with marine resources understood relative to the local communities that depend on those resources and have included that resource extraction as a part of their cultural identity.

A.2.f Gender Considerations

The PICs face immense challenges in gender equality across multiple sectors, including the environment and natural resources, this poses risk for development outcomes and for lasting program success. Gender Based Violence (GBV) levels in the region illustrate the low social status of women, with rates ranging from 46% in Samoa to above 60% in PNG, Kiribati, and the Solomon Islands[46]. Coastal fisheries (i.e., invertebrates and finfish) collection efforts can involve up to 50% women in places like Papua New Guinea[47]; and while women's role varies between PICs, women account for more than 56% of total annual small-scale catches with an overall impact of 363 million USD on economies in the region[48]. In all cases, women’s contributions are often underestimated and not fully acknowledged.

Women are in various roles within the fisheries sector and as a result have major contributions to the local economy and households[49]. The importance of addressing gender specific impacts for PICs in development outcomes for fisheries, biodiversity, and ecosystem services has been recognized since 2008 at the Pacific Islands Forum. Although women are an important part of the fisheries sector in the PICs, particularly in rural environments, there are struggles in getting women’s work recognized.

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[42] Kittinger, J.N., 2013. Human dimensions of small-scale and traditional fisheries in the Asia-Pacific region. *Pacific Science*, *67*(3), pp.315-325.
[43] Kleiber, D. and Leong, K., 2018. Pacific Islands Fisheries Science Center: Cultural Fishing in American Samoa.
[44] Charlton, K.E., Russell, J., Gorman, E., Hanich, Q., Delisle, A., Campbell, B. and Bell, J., 2016. Fish, food security and health in Pacific Island countries and territories: a systematic literature review. *BMC Public Health*, *16*(1), p.285.
[45] SPC. Fish and Food Security. Policy Brief 1/2008, Secretariat of the Pacific Community, Noumea, 2008.
[46] Population and Development Profiles; Pacific island Countries, UNFPA, Pacific Sub-regional Office, April 2014.
[47] Kronen, M. and Vunisea, A., 2007. Women never hunt–but fish: Highlighting equality for women in policy formulation and strategic planning in the coastal fisheries sector in Pacific Island countries. *SPC Women in Fisheries Information Bulletin*, *17*, pp.3-15.
[48] Harper, S., Zeller, D., Hauzer, M., Pauly, D. and Sumaila, U.R., 2013. Women and fisheries: Contribution to food security and local economies. *Marine policy*, *39*, pp.56-63.
[49] Ram-Bidesi, V., 2015. Recognizing the role of women in supporting marine stewardship in the Pacific Islands. *Marine Policy*, *59*, pp.1-8.

Depending on the fishery sector, women have varying roles and responsibilities. In commercial, organized fisheries, women typically are involved in shore-based processing facilities and men are more involved with offshore pelagic fisheries[50]. Women are often the most active players in the subsistence sector. They typically are involved with collecting fish close to their homes using simple, culturally relevant methods and techniques. This is done to provide for the daily food security of the home and community[51]. In these environments they are the regular suppliers of local marine resources that are not involved in economic markets.

Coastal fisheries in many PIC areas are structured around community-based resource management systems. These systems allow for collective decision making, but women are in primarily subordinate positions in society. This limits the expression of their equities in the fisheries sector and frequently the concerns and interests of women are not included in the decision-making process[52]. In the rural communities, where women have the majority of traditional knowledge about the artisanal fishery, this means that local knowledge that can be used to increase management outcomes largely remains outside of the management process[49].

Gender equality and female empowerment are essential for achieving USAID's development goals and underpinned by the Women's Global Development and Prosperity (W-GDP) initiative. The W-GDP initiative goal is to advance global women's economic empowerment focused on three pillars: women prospering in the workforce, women succeeding as entrepreneurs, and women enabled in the economy. The USAID Gender Policy advances equality between females and males and empowers women and girls to participate fully in and benefit from development, through the integration of gender in the entire project cycle -- from project planning and implementation to monitoring and evaluation. This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender based violence and mitigate its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision making in households, communities, and societies.

A.2.g Governance Challenges

The governments of the PICs are primarily young democracies with different government structures depending on the culture and the legacy of former colonial rule. Although the challenges for the governmental structures in regulating and managing their marine resources, remain individual, there are some common themes that cut across all PICs. In fisheries, increasing the representation and voice of women, as well as ensuring vulnerable communities have voices in the democratic system remain of importance[52]. The distributed nature of the islands and low population densities make the importance of governmental transparency and

[50] Sullivan, N. and Bidesi, V.R., 2008. Gender issues in tuna fisheries: Case studies in Papua New Guinea, Fiji and Kiribati. Forum Fisheries Agency & Pacific Islands Forum Secretariat.
[51] Leney, A., Schwarz, A.M., Aalbersberg, B., Verheij, E., Ropeti, E., Petro, G., Tafea, H., Bertram, I., Pita, J., Aitaro, J. and Matawai, M., 2011. *Good coastal management practices in the Pacific: experiences from the field.* SPREP.
[52] Vunisea, A., 2007. Women" s changing participation in the fisheries sector in Pacific. Island Countries. *SPC Women in Fisheries Information Bulletin*, *16*, pp.24-27.

accountability an important mechanism to successful management of marine resources for local communities and the nation state as a whole.

Weak governmental and management institutions allow illicit and illegal activities, such as IUU, to continue in national EEZs. Either allowing through corruption, or through an inability to effectively provide the correct political, policy, and response options encourages further illegal and unregulated behavior related to fisheries that could limit and undermine the ability of the government to continue to grow their economy sustainably[53]. Moreover, the 2019 U.S. Department of State Trafficking in Persons Report has identified the PICs as source, transit, and destination for human trafficking related to forced labor for the fishing industry[54]; this may further be extended into trafficking for sexual exploitation or other human rights abuses.

There is an extensive and active group of civil society organizations (CSOs) within the PICs, many of them faith-based, and tied to specific communities on certain islands. In times of disaster and in areas with limited governmental provided services, they often provide services and support to those local communities. Within the region, CSOs have a number of challenges, which include but are not limited to limited financial resources, human resources, and lack of coordination[55]. These CSOs often have limited capacity due to physical constraints such as location, equipment, and infrastructure, as well as soft resources like expertise, human capital, and logistical support. There is also a common theme of fragmentation associated with PICs CSOs as they tend to be very community or island specific and reflect the geographical distribution of these island nations[56]. This can directly limit effectiveness and reach and make interventions to strengthen CSOs a difficult concept.

The activity will support USAID's Biodiversity Code. It will have an explicit biodiversity objective, identify interventions based on an analysis of threats to biodiversity and a corresponding theory of change, positively impact biodiversity in biologically significant areas, and monitor indicators along the theory of change.

A.2.h Regional Shocks and Stressors

There are several potential shocks and stressors which have varying effects to the environment, economies, and communities of PICs, depending on the nature and severity of the stress. Some of these stressors, such as climate change, have a multitude of effects and are discussed in section A.2.d. Other shocks, such as tropical cyclones[57], global trade[58], or pandemics[59] such as COVID-19, present challenges to small island developing states, and have particularly strong impacts for PICs due to the geography and isolation of the islands in the region. These shocks

[53] Hanich, Q. and Tsamenyi, M., 2009. Managing fisheries and corruption in the Pacific Islands region. *Marine Policy*, *33*(2), pp.386-392.
[54] https://www.state.gov/wp-content/uploads/2019/06/2019-Trafficking-in-Persons-Report.pdf
[55] Mohanty, M., 2012. Informal social protection and social development in Pacific Island countries: role of NGOs and civil society. *Asia-Pacific Development Journal*, *18*(2), pp.25-56.
[56] Ruddle, K., 1998. The context of policy design for existing community-based fisheries management systems in the Pacific Islands. *Ocean & Coastal Management*, *40*(2-3), pp.105-126.
[57] Walsh, K.J., McInnes, K.L. and McBride, J.L., 2012. Climate change impacts on tropical cyclones and extreme sea levels in the South Pacific—A regional assessment. *Global and Planetary Change*, *80*, pp.149-164.
[58] Plahe, J.K., Hawkes, S. and Ponnamperuma, S., 2013. The corporate food regime and food sovereignty in the Pacific Islands. *The Contemporary Pacific*, pp.309-338.
[59] Wilson, N., Mansoor, O., Lush, D. and Kiedrzynski, T., 2005. Modeling the impact of pandemic influenza on Pacific Islands. *Emerging infectious diseases*, *11*(2), p.347.

and stressors can have variable effects based on the location within the Pacific region, but also secondarily impact other PIC that may have not been directly impacted through increasing isolation or loss of trade.

Natural disasters are prevalent within the Pacific region and threaten long-term resilience for PICs. Located within the Pacific "ring of fire" PICs face challenges from active tectonic movement ranging from volcanoes, earthquakes, and tsunamis that can cause severe disruption on both local (i.e., volcanic activity[60]) and regional level (i.e., earthquake[61], tsunami[62]). Other natural disasters like typhoons[63], threaten parts or whole sub-regions depending on their formation and track through the Pacific Ocean. All of these can have severe effects on the coastal marine environment, and particularly the fragile reef ecosystems near-shore. In particular, earthquakes, volcanoes, tsunamis, and typhoons can all cause direct mechanical damage to the reef and other nearshore environments[64]. Moreover, these events also directly impact the communities that rely on their local marine ecosystems for food security and livelihoods, both directly impacting their communities and limiting access to the natural resources. Communicable disease and pandemics present another potential shock and stress which very directly affects PIC, and the communities therein. Many of the communities throughout the region have historically had less interaction with the global community. This has limited immunity for certain diseases, and the isolated nature means that once introduced, pandemics can spread easily within the population[65]. These effects can directly limit the ability of local populations to engage in normal livelihoods tied to marine resource extraction, and limit effective management, monitoring, or control from government or community authorities.

Limited economic diversification, and strong reliance on the ability of open markets for trade limits the resilience capabilities of many PICs[66]. With a primary underpinning of natural resources, such as fisheries and other marine natural resources, driving much of the local livelihoods and national GDP, changes in global trade and markets can have long-lasting and negative effects on nations within the region and their communities[67]. These economic shocks can cause increased pressure on local fisheries to supplement protein for food security or encourage IUU fishing from domestic or foreign actors looking to capitalize on high prices in illegal markets.

The effects of shocks and stresses on the PIC is recognized by USAID. Using agency-wide goals of adaptive management and effective monitoring, evaluation, and learning plans allows for

[60] Carn, S.A., Fisher, B.L., Krotkov, N.A., Li, C. and Prata, F.J., 2018, December. Satellite Observations of SO2 Emissions from Pacific Island Eruptions in 2018. In *AGU Fall Meeting Abstracts*.

[61] Johnson, K.L., Pagani, M., Styron, R.H. and Gee, R., 2019. Probabilistic Seismic Hazard Analysis for the southern Pacific Islands. *AGUFM, 2019*, pp.NH13D-0836.

[62] Itibita, B. and Chen, S., 2017, December. Integrating an alert technology into PIC social context: An earthquake-induced tsunami alert for Pacific Island Communities. In *2017 4th Asia-Pacific World Congress on Computer Science and Engineering (APWC on CSE)* (pp. 149-153). IEEE.

[63] Ford, M., Merrifield, M.A. and Becker, J.M., 2018. Inundation of a low-lying urban atoll island: Majuro, Marshall Islands. *Natural Hazards*, *91*(3), pp.1273-1297.

[64] Abesamis, R.A., Langlois, T., Birt, M., Thillainath, E., Bucol, A.A., Arceo, H.O. and Russ, G.R., 2018. *Coral Reefs*, *37*(1), pp.81-97.

[65] Shanks, G.D., Wilson, N., Kippen, R. and Brundage, J.F., 2018. The unusually diverse mortality patterns in the Pacific region during the 1918–21 influenza pandemic: reflections at the pandemic's centenary. *The Lancet Infectious Diseases*, *18*(10), pp.e323-e332.

[66] McIntyre, A., Li, M.X., Wang, K. and Yun, H., 2018. *Economic benefits of export diversification in small states*. International Monetary Fund.

[67] Morgan, W., 2018. Much lost, little gained? Contemporary trade agreements in the Pacific Islands. *The Journal of Pacific History, 53*(3), pp.268-286.

direct engagement during times of acute stress or to achieve programmatic goals with increasing or variable stressors to the region.

A.3 Objectives and Results

Fisheries sustainability, biodiversity conservation, and maritime security are interconnected development goals in the Pacific region. Overall, this activity will address the drivers that are degrading fisheries and biodiversity, and damaging livelihoods and food security. It will protect fisheries and biodiversity as a significant source of the region's economic and maritime security with a focus on addressing IUU fishing. This five-year Sustainable Coastal Fisheries Management Activity in the Pacific Region seeks to address the drivers of IUU fishing that are degrading coastal fisheries and biodiversity and negatively impacting local livelihoods and maritime security. While the primary focus is on coastal fisheries, community-driven fisheries management is necessarily linked to broader national level application with clear roles and responsibilities between local level and national government management.

This activity will achieve the following major results:

1. Improvement of sustainable coastal fisheries management;
2. Enhancement of monitoring, control, and surveillance (MCS) in coastal fisheries; and
3. Demonstration of sustainable supply chains and private sector partnerships.

Results Framework

Sustainable Coastal Fisheries Management Improved	**Monitoring, Control and Surveillance (MCS) in Coastal Fisheries Enhanced**	**Private Sector Partnerships to Promote Sustainable Supply Chains Demonstrated**
Policies on managing coastal fisheries improved Capacities on ecosystem approach to fisheries management strengthened Constituencies demanding sustainable coastal fisheries and biodiversity conservation increased	Coastal fisheries data systems improved Enforcement capacities improved Collaboration of enforcement authorities strengthened	Partnerships with private sector accelerated Development and expansion of interventions to promote value addition and retention for Pacific nations and communities

A.4 Links to USAID'S Global and Regional Strategies

The overall, long-term goal of U.S. development assistance in the Pacific region is to support Pacific Islands partners on the Journey to Self-Reliance. The United States is a Pacific nation and has a deep and longstanding commitment to the future security, prosperity, and well-being of the people within the Pacific.[68] The U.S. government has emphasized the importance of the Pacific Islands as a key part of the Indo-Pacific region,[69] and the Asia Reassurance Initiative Act (ARIA) of 2018 further recognized the need for the United States to deepen cooperation with the Pacific Islands in areas of mutual interest.[70] Under the Pacific Pledge of the Indo-Pacific Vision, the USG has committed over $100 million in new U.S. assistance to the region, including $63 million for USAID programming.

This activity directly supports the goals of the Journey to Self-Reliance for USAID partner nations. The activity will promote interventions working towards increasing the resilience of PICs to become self-reliant in managing their natural resources and providing sustainable LMRs to the local communities that depend on those resources. This will mean building the capacity of PICs to plan, finance, and implement solutions to local development changes surrounding coastal fisheries sustainability and ensuring that there is a commitment to see these solutions through effectively, inclusively, and with accountability.

The program supports the Indo-Pacific Vision's objective of strengthening partnerships with longstanding allies to uphold rules-based order and advance shared governance goals in the region as applied to the environment context. The activity supports the security pillar of the Indo Pacific Vision by addressing IUU fishing in the PICs. The activity also supports the economic pillar by advancing sustainable coastal fisheries management as a foundation of economic growth. In particular, this supports Objective 3: Improve the Management of Natural Resources of USAID's Strategic Approach to implementing the Indo-Pacific Vision.

The activity will support the Biodiversity Code. It will have an explicit biodiversity objective, identify interventions based on an analysis of threats to biodiversity and a corresponding theory of change, positively impact biodiversity in biologically significant areas, and monitor indicators along the theory of change.

The activity should align and support USAID's Private Sector Engagement Strategy, which promotes an enterprise development model as a more sustainable approach to empower people, communities and countries on their journey to self-reliance. While the private sector is nascent in many PICs, the activity should acknowledge and support opportunities where market-based solutions and the private sector are best placed solve development challenges. The private sector is also uniquely positioned to promote both scalability and sustainability given their networks, operations and capital. Where impediments exist that prevent private sector participation in interventions that support activity goals, the activity should partner with the private sector and government to identify potential solutions.

[68] https://www.doi.gov/oia/interior-secretary-bernhardt-and-us-delegation-conclude-trip-pacific-islands-forum-partners
[69] https://www.state.gov/pacific-islands-forum-u-s-engagement-in-the-pacific-islands/
[70] https://www.congress.gov/bill/115th-congress/senate-bill/2736/text

The activity will support USAID's Policy on Promoting the Rights of Indigenous Peoples (PRO-IP), which guides development practitioners to strengthen the design and management of programs that affect Indigenous Peoples. By considering the ways that project design and activities may impact cultures, territories, resources, and/or livelihoods, the PRO-IP promotes thoughtful and direct engagement of Indigenous Peoples in the design, implementation and monitoring of projects to ensure the communities benefit, and that those benefits are in line with the communities' self-determined development objectives. These efforts should contribute to deepening the impact of activities and creating more sustainable outcomes by effectively and appropriately partnering with Indigenous Peoples and addressing their challenges throughout the program cycle.

Agencies making up the Council of Regional Organizations in the Pacific play an important role supporting PICs with scientific and technical needs to further their development objectives. The activity should seek collaboration and partnership with relevant CROP agencies in particular the Pacific Community (SPC) Fisheries, Aquaculture and Marine Ecosystems Division, which is the region's leading organization supporting coastal fisheries. There may be other opportunities to collaborate with other CROP agencies such as the Pacific Islands Forum Fisheries Agency, the Secretariat of the Pacific Regional Environmental Program and the University of the South Pacific.

The activity should leverage the resources of other donor organizations that have similar or related ongoing activities in the country. These include but are not limited to: the Asian Development Bank, World Bank, European Union, New Zealand's Ministry of Foreign Affairs and Trade, Australia's Department of Foreign Affairs and Trade, and Japan International Cooperation Agency.

The activity will also coordinate with other relevant USAID-supported projects in the Pacific. These include Climate Ready, Strengthening Democratic Governance in Pacific Islands, Lukautim Graun (PNG Biodiversity), the Pacific American Fund and RESILIENCE as well as other upcoming USAID programming to support improved natural resource management in the region. The activity may also need to adjust based on shocks and stressors within the region to align and coordinate with other programs and needs.

A.5 U.S. Assistance and Partner Agencies in the Pacific

The Recipient for the activity will have considerable interaction and coordination with other USG partners in the Pacific Islands, including implementers of the other USAID activities, and other USG agencies operating in the Pacific Islands, including U.S. Embassies, the U.S. Departments of State, Defense, and Commerce (i.e., National Oceanographic and Atmospheric Administration), and U.S. Peace Corps. Interaction with other USG agencies will be important for combatting IUU fishing and for ensuring good program agreement with ongoing IUU activities within the Pacific Islands region.

END OF SECTION A

SECTION B – FEDERAL AWARD INFORMATION

B.1 Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one (1) Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide not more than $15 million in total USAID funding over a five (5) year period.

B.2 Start Date and Period of Performance for Federal Awards

The anticipated period of performance is five (5) years. The estimated start date will be upon issuance of the final award.

B.3 Substantial Involvement

USAID anticipates award of a cooperative agreement. A cooperative agreement implies a level of “substantial involvement” by USAID in certain programmatic aspects of the award. This substantial involvement will be through the Agreement Officer (AO), except to the extent that he/she delegates authority to the Agreement Officer’s Representative (AOR) in writing.

The anticipated substantial involvement elements for this award are as follows:

a. Co-development after award of the cooperative agreement

   USAID is committed to designing activities that are both firmly grounded in rigorous analysis and evidence, and more able to adapt to new evidence and changing circumstances. This requires effective planning, project design, implementation, assessing, and learning to support adaptive project management. Following awarding of the Cooperative Agreement, USAID plans to collaborate closely with the Recipient on co-development of this activity.

   Co-development will include finalization of the Theory of Change (TOC) situation model, results chains, planning documents, and monitoring, evaluation, and learning plans. The process will include relevant members of USAID technical staff, other USG personnel, and specific technical experts, as appropriate. Finalizing the TOC will occur as soon as possible post award with input from USAID Mission and technical staff. Upon finalization of the TOC, appropriate efforts will be taken in concert with USAID technical staff to finalize the situation model, strategic approaches and update the results chains provided in the solicitation. Planning documents will be developed with and approved by USAID staff. The monitoring, evaluation, and learning plan will also be developed in connection with USAID technical experts and revised as necessary to achieve the activity goals.

   Understanding the threats from various potential shocks and stressors on the Pacific Islands region, USAID will work with the awardee to develop contingency plans to address shocks and stressors that would limit the success of program implementation and goals. Adaptive management in light of both shocks and stresses to the natural environment and coastal resources will ensure project goals are met and USAID is responsive to changing circumstances.

b. Approval of the Recipient's Implementation Plan

Implementation plans include, but are not limited to, annual work plans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, and event planning/management.

USAID requires the approval of implementation plans annually to ensure alignment with stated goals, milestones, and outputs. The implementation plan communicates how and when the Recipient will complete project activities and is drafted annually to describe new activities. This plan will be developed in partnership between the Recipient and the AOR. The annual implementation plans, and subsequent revisions thereto, are subject to prior written approval by USAID's AOR.

c. Approval of Key Personnel

USAID may designate as key personnel only those positions that are essential to the successful implementation of the recipient's program. For this activity, USAID requires not more than three (3) key personnel.

d. Agency and Recipient Collaboration or Joint Participation

USAID will participate in the following:

1. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters;

2. Approval is required for the subaward, transfer, or contracting out of any work under this cooperative agreement;

3. Approval of the Recipient's monitoring and evaluation plans; and

4. Monitoring to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

e. No construction activities are authorized under this cooperative agreement.

B.4 Title to Property

Property title under the resultant agreement shall vest with the Recipient in accordance with the requirements of 2 CFR 200.

B.5 Authorized Geographic Code

Geographic Code 937 (the United States, the Recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source) is the authorized USAID Principal Geographic Code for the procurement of commodities and services by Recipients under grants and cooperative agreements to non-governmental organizations when the award budget contains more than $250,000 worth of goods and services to be procured by the Recipient; and by subcontractors and subrecipients of awards.

Geographic Code 935 (any area or country including the Recipient country, but excluding any country that is a prohibited source) is authorized USAID Principal Geographic Code for procurement of commodities and services under a grant and cooperative agreement when the total procurement element in the award budget is $250,000 or less.

USAID's rules for the source of goods other than "restricted goods," are described in ADS 312 (https://www.usaid.gov/sites/default/files/documents/1876/312.pdf).

These rules do not apply to procurement by the Recipient with cost-sharing or program income funds.

For an accurate identification of developing countries, advanced developing countries, and prohibited sources, please refer to the Automated Directive System (ADS) 310 entitled "Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID" (https://www.usaid.gov/sites/default/files/documents/1876310.pdf).

B.6 Nature of the Relationship between USAID and the Recipient

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

END OF SECTION B

SECTION C – ELIGIBILITY INFORMATION

C.1 Eligible Applicants

USAID encourages applications from potential new partners. <u>USAID will not accept applications from individuals.</u>

To be eligible for award of a Cooperative Agreement, in addition to other conditions of this NOFO, organizations must have 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.

C.1.a Types of entities **eligible** to apply for funding under this NOFO:

1. **U.S. and Non-U.S. Non-Governmental Organizations (NGOs)**

   a) **U.S. and Non-U.S. Non-Profit Organizations**

   U.S. and non-U.S. private non-profit organizations may apply for funding under this NOFO.

   b) **U.S. and Non-U.S. For-Profit Organizations**

   U.S. and non-U.S. private for-profit organizations may apply for funding under this NOFO. Potential for-profit applicants should note that, in accordance with 2 CFR 200.400(g), non-Federal entity may not earn or keep any profit resulting from Federal financial assistance. Furthermore, pursuant to 2 CFR 700.13(a)(1), Prohibition against profit: No funds will be paid as profit to any for-profit entity receiving or administering Federal financial assistance as a recipient or subrecipient.

   c) **U.S. and Non-U.S. Colleges and Universities**

   U.S. and non-U.S. colleges and universities may apply for funding under this NOFO. Please note, however, that this NOFO is focused on addressing the drivers of illegal, unreported, and unregulated (IUU) fishing in the Pacific region. This NOFO is not intended to fund academic research.

2. **Public International Organizations (PIOs)**

   PIOs may apply for funding under this NOFO. Please see ADS 308 for USAID policy on PIOs: http://www.usaid.gov/ads/policy/300/308.

3. Private Voluntary Organizations (PVOs)

NGOs that meet the definition of a Private Voluntary Organization (PVO) as defined in 22 CFR 203 (https://www.govinfo.gov/content/pkg/CFR-2014-title22-vol1/xml/CFR-2014-title22-vol1-part203.xml) are encouraged to register as a PVO with USAID. Applicants may find registration instructions here: https://www.usaid.gov/pvo

4. New Partners

USAID encourages applications from new partners that have not previously received USG funding. However, resultant awards to these organizations may be delayed because USAID generally must conduct pre-award surveys of these organizations in order to make a risk assessment decision, in accordance with ADS 303.3.9 (for NGOs; ADS 308 for PIOs). Please refer below, for additional information on pre-award surveys.

C.1.b Eligibility requirements

Applicants must:

- Have a valid DUNS number (https://www.grants.gov/applicants/organization-registration/step-1-obtain-duns-number.html) and provide this information in their application;
- Be registered in the System for Award Management (https://www.sam.gov/SAM/transcript/Quick_Guide_for_International_Entity_Registration.pdf); and
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award, or an application, or plan under consideration by a Federal awarding agency.

USAID/Philippines will not make an award to an Applicant that has not fully complied with the DUNS and SAM requirements. Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. government standards, laws, and regulations.

The successful Applicant will be subject to a responsibility determination assessment by the Agreement Officer (AO). The AO may require a pre-award survey that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

C.2 Cost Share

Cost share as defined in ADS 303.3.10 is "the resources a recipient contributes to the total cost of an agreement." Cost sharing is an important element of the USAID-Recipient relationship. Cost sharing may consist of cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost share becomes a condition of an award when it is part of the approved award budget and must be used for the accomplishment of program objectives. Information regarding the proposed cost share, if any, should be included in the budget. **A cost share equivalent to at least 5% of the total federal share of the award is required for an Applicant to be eligible**. Applications that do not meet the cost share requirement will not be considered.

For guidance on cost share, please see ADS 303.3.10 (https://www.usaid.gov/sites/default/files/documents/1868/303.pdf). Specific for U.S. NGOs, 2 CFR 200.306 (https://www.govinfo.gov/app/details/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-306). For non-U.S. NGOs, all cost sharing will be subject to the Required as Applicable Standard Provision "Cost Share" in ADS 303mab (https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf).

C.3 Number of Applications

The prime applicant may submit only one application. Sub-partners may be included in multiple applications.

C.4 Other

USAID/Philippines discourages applicants from requiring exclusive commitments by local organizations to participate as part of a subaward. Local organizations participating as a sub-awardee may elect to participate in another subaward under a different application.

END OF SECTION C

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SECTION D – APPLICATION and SUBMISSION INFORMATION

D.1 Agency Point of Contact

Name: Béatricé M. Condé
Title: Supervisory Agreement Officer
Address: Regional Office of Acquisition and Assistance (ROAA), 3/F Annex 2 Building, U.S. Embassy Compound, 1201 Roxas Boulevard, Ermita Manila, Philippines 1000
Email: manila-roaa-rfa@usaid.gov

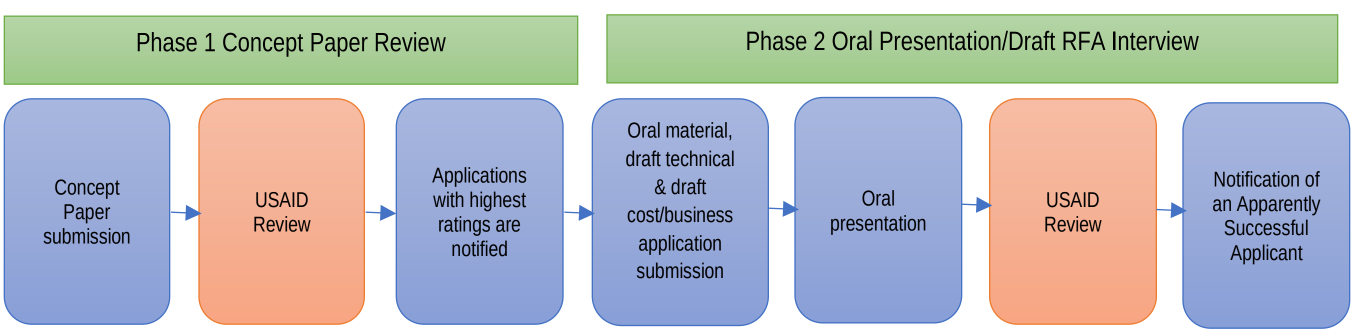
D.2 Questions and Answers

All questions regarding this NOFO should be submitted in writing to Ms. Condé to the email address above with a copy to Haidee Juanillo, Acquisition and Assistance Specialist at hjuanillo@usaid.gov.

Questions regarding this NOFO should be submitted by e-mail no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

D.3 OVERALL SELECTION PROCESS

USAID/Philippines will follow a two-phased process of application selection under this NOFO. The purpose of this process is to identify the Applicant with the greatest chance of success in achieving the activity objectives.



Phase 1 Concept Paper Review

Applicants must submit a Concept Paper not to exceed the page limit and submission instructions set forth in Section D.4. Concept Papers will be evaluated in accordance with the Merit Review Criteria set forth in Section E.2.

The concept paper is intended to capture the Applicant's understanding of the problem set, its proposed strategy and interventions to address the problems described in the NOFO, its organizational capability and expertise to design and implement the proposed interventions, its proposed results framework that will illustrate how activities lead to USAID's desired results (See Section A.3 Objectives and Results). The concept paper is expected to be presented concisely. Applicants are to submit only the information required for concept papers.

Concept papers must be written from a viewpoint that convincingly shows the innovations and approaches proposed by the applicant and its sub-awardees/partners (if there are any). The concept paper should lay out how the applicant and its sub-awardees/partners are uniquely capable of supporting the sustainable coastal fisheries interventions being proposed. USAID strongly encourages each applicant and its sub-awardees/partners to be thoroughly involved in the development of the concept paper and be fully in agreement with the proposed technical approach and management structure.

The applicant is expected to propose the name or title of the activity. The concept paper must articulate the activity name/title that has been developed. The activity name/title should be representative of the innovations and approaches proposed by the applicant in the concept paper. It should also take into account the regional nature of the program and be mindful of the various local indigenous cultures and norms associated with the proposed geographies.

The applicant must note that the Merit Review Criteria stated in Section E - Phase 1 Concept Paper Merit Review serve as the standard against which all concept papers submitted will be evaluated. The Merit Review Criteria will also serve to identify the significant matters, which the applicant must address in the concept paper. Applications with the highest ratings during the Phase 1 Concept Paper Review will be invited to Phase 2 – Oral Presentation/Draft RFA Interview. USAID contemplates on inviting up to **three applicants** to proceed to the next phase.

In the event that only one applicant's Concept Paper qualifies to be invited to Phase 2, USAID reserves the right to accelerate the process for convenience of the Government. USAID may choose to proceed to award. If USAID determines that none of the concept papers received are acceptable, USAID may issue an amendment to the NOFO to seek a second round of interested applicants.

Phase 2 Oral Presentation/Draft Request for Application (RFA) Interview

Based on USAID's merit review of concept papers, the Applicants with the highest ratings (i.e., are determined to be technically acceptable and/or innovative) will be invited to present their draft technical application orally. USAID will notify the selected applicant(s) at least two (2) weeks prior to the scheduled oral presentation date. At the time of the notification, USAID will provide the applicants with the discussion items based on the review of concept papers, and additional guidance for the oral presentation, if necessary, including the content, order, and format of the presentation and the duration of the presentation and discussions. Submission of the oral presentation is required three days in advance of the scheduled presentation.

The applicant's presenting team must include the proposed Key Personnel, Senior Program Management representatives, and major sub-awardees/partners, as appropriate. USAID will only accommodate up to 7 attendees.

All oral presentations will be in-person subject to the lifting of travel restrictions. USAID may choose to hold an online conference instead of an in-person oral presentation if the latter is not feasible. USAID anticipates the need for remote access and presentation ability and will provide the platform for presentation for the Applicants invited for oral presentations. Online conference information will be included in the notification letter.

Submission of a draft technical application and draft cost/business application based on the concept paper is required prior to the scheduling of the oral presentation. The application should provide more details but should not deviate from the elements and information of the concept paper. The draft technical application should also address any concerns and clarifications that USAID will raise during Phase 1 Concept Paper Review. At this stage, both the draft technical and draft cost/business applications are considered as the "draft RFA" and subject to revision after the oral presentation. The draft technical and draft cost/business application should be submitted along with the oral presentation three days in advance of the scheduled presentation.

All oral presentations will be evaluated and scored by the selection committee in accordance with the Merit Review Criteria set forth in Section E Phase 2 Oral Presentation/Draft RFA Interview Merit Review.

D.4 APPLICATION MATERIALS AND SUBMISSION INFORMATION

Applicants are expected to review, understand, and comply with all aspects of this NOFO and its amendments (if any), before submitting the documents required at each Phase of the selection process. Applicants must ensure the completeness of the application package before submission. Failure to include all information or to organize the application in the manner prescribed may result in the rejection of the application as being unacceptable. USAID will only review applications that are complete and submitted on time.

Electronic Submission Procedure: Applications must be submitted electronically via e-mail to the agency point of contact at manila-roaa-rfa@usaid.gov, with a copy to Haidee Juanillo at hjuanillo@usaid.gov. The applications must be received by the USAID/Philippines internet server no later than the date and time specified in the cover letter of this NOFO. Electronic transmission and attachments must not exceed 25mb per email. **E-mail attachments in *.zip files will not be accepted**. The document must be in Adobe Acrobat portable document format (PDF), Microsoft Word and Excel format as applicable. If multiple emails are needed to submit a complete document, the e-mail subject line must contain the following information:

- Phase 1: NOFO number, Organization name, Concept Paper, Part 1 of 2
- Phase 2: NOFO number, Organization name, Oral Presentation, Part 1 of 2
- Phase 2: NOFO number, Organization name, Draft Technical Application, Part 1 of 2
- Phase 2: NOFO number, Organization name, Draft Cost Application, Part 1 of 2

Hard copy or faxed applications are not acceptable.

USAID will notify applicants of the receipt of their application via email. Likewise, applicants must check to confirm that all emails and attachments were indeed sent and request for confirmation of receipt.

D.5 Content and Format of Application

1. General Application Format

Applicants must format all submissions as follows:

- Phase 1 Concept Paper: PDF format
- Phase 2 Oral Presentation (Upon USAID Request): Microsoft PowerPoint or PDF
- Phase 2 Draft Technical Application (Upon USAID Request): PDF format
- Phase 2 Draft Cost/Business Application (Upon USAID Request): Budget – in **U.S. dollars**; **unlocked Microsoft Excel Format**; Budget notes/narrative in PDF format
- Spacing: Single-spaced
- Language: English
- Font: Legible without the need for magnification
- Headers and/or footers on each page; pages must be numbered consecutively

2. Phase 1: Concept Paper Content and Format

The written concept paper should be limited to **<u>10</u>** pages and should be organized as follows:

- Cover Page – See below *(not included in the page limitations)*
- Table of Contents must include major sections, page numbers, and hyperlinks to easily cross-reference and identify merit review criteria *(not included in the page limitations)*
- Executive Summary must provide a high-level overview of key elements of the application (*one page, not included in the page limitations*)
- Technical Approach - See below ***(7 pages, included in the page limitation)***
- Organizational Management and Staffing Plan - See below ***(2 pages, included in the page limitation)***
- Organizational Capability and Past Experience - See below ***(1 page, included in the page limitation)***
- Annexes: (See sub-section on Annexes, below)

- References – a formatted list of all references that were used in the drafting of the Application *(not included in the page limitations)*

Cover Page

The cover page should have a cover page which includes the following:

a) Name of Organization
b) Business Address
c) Names of Authorized Representative and Alternate with their Titles
d) Phone and fax numbers
e) E-mail addresses
f) Notice of Funding Opportunity number
g) Program Title
h) Amount of Funding Requested from USAID and Cost Share Amount
i) Date of Submission
j) Names of proposed subrecipients or partnerships (identify if local organization, per USAID's definition of 'local entity' under ADS 303

Factor 1: Technical Approach (not to exceed seven [7] pages, included in the page limitation)

The Applicant should present its overall vision for the stated goal and objectives of the NOFO and explain how the Applicant and its sub-awardees/partners can support this vision. Since the Applicant will collaboratively develop the final program description with USAID, it is not necessary to present a full or detailed technical application addressing every aspect of the priority areas listed under the activity objective. The Applicant will use the technical general approach to demonstrate an understanding of the Pacific context, the main actors, and the key questions and guiding principles outlined in the NOFO.

Applicants must focus on describing how they propose to achieve the program objectives and elaborate on how the proposed technical approach is the most effective way to address the challenges as described in the NOFO. At a minimum, this section must contain:

- Summary Statement: A brief statement of the problem(s)/issue(s) being addressed, and proposed strategies/activities.
- Timeline: Proposed timeline, i.e. project duration or time needed to complete the proposed activities. All projects should be 60 months in duration.
- Project description: includes vision statement, brief narratives describing the situational context and background (limited to what is necessary to understand the project), the problem to be addressed, a description of proposed project objectives, expected results and activities.

The program description must include a brief discussion on:

- Sustainability (how the project will be supported and can continue without donor funding) and self-reliance;
- Gender considerations;
- Environmental compliance and climate risk mitigation; and
- Partnering with local organizations.

Factor 2: Organizational Management and Staffing Plan – (not to exceed two [2] pages, included in the page limitation)

This activity will require specialized skills hence the Applicant should clearly describe its organizational skills and capacity and define the value it brings. If subawards/partnerships are proposed, the Applicant should describe how they complement one another, succinctly outline a leadership approach that will create a shared common vision and purpose that builds trust and recognizes the value and contribution of all sub-awardees/partners.

In addition, the Applicant should aim to describe how their plan involves a range of local partners, private, non-profit, and public entities. Actors should be described based on their own experience within the development space. These groups could include, from a non-exhaustive list, social enterprises, foundations, business, diaspora and communities. All proposed partners should have descriptions detailing previous work addressing development challenges, experience partnering with others, and where applicable, a proven track record in their respective areas of expertise. Applicants are expected to describe how they will successfully engage other partners in their proposed activities, such as through building sustained private sector or civil society organizations collaborations.

The Applicant should describe how it intends to coordinate the strategic approach on two levels. The first level of coordination will be at the Mission level where the program coordinates with relevant current and upcoming Activities managed by USAID/Pacific Islands to avoid overlap and increase synergies. The second level of coordination will focus on broader coordination across the Applicant and sub-awardees/partners (if any) with the Pacific government agencies and civil society organizations (CSOs), and other development partners. Through appropriate coordination mechanisms, the Applicant should also demonstrate how they will ensure the sharing of information that results from coordination efforts with stakeholders.

The Applicant should propose a staffing plan to meet the objectives outlined in Section A of the NOFO and propose a mix of positions and management structure.

The Staffing Plan should include a description of team composition, and proposed personnel that will provide the technical, analytical, management, and interpersonal skills and experience to convincingly demonstrate the Applicants' ability to effectively and efficiently achieve the objectives specified in the Program Description.

The roles and responsibilities for key personnel and other critical staff proposed under the staffing pattern and levels of effort – including any technical or operational staff at the home office that will support/backstop the activity – should be clearly addressed. Brief descriptions for each technical and managerial staff position should be included in this Section. An Organizational Chart demonstrating lines of authority and staff responsibility should be included as an annex.

The professional staff proposed in addition to key personnel shall possess the complementary experience that reflects a combination of strong management as well as specific technical-managerial expertise and competencies with the appropriate mix of managers, technical experts and administrative staff. An annex providing reference information for each key personnel candidate proposed should also be included.

Factor 3: Organizational Capability and Past Experience – (not to exceed one (1) page, included in the page limitation)

Applicants should discuss their capability and experience, and that of its major sub-awardees, and how that experience is relevant to successfully implementing the program. A major sub-awardee is a partner whose proposed cost exceeds 15% of the Applicant's total proposed cost. Applicants should also discuss their experience managing activities of similar size and complexity and in working in the Pacific region. Applicants should describe their ability to gather the resources and expertise necessary to implement their application, and to be able to sustain their efforts for the duration of the resulting cooperative agreement. USAID will evaluate the Applicant and all proposed major sub-awardees.

Recent past experience information must be provided and should relate to the specific technical nature of the Activity. The Applicant must also provide past experience and performance information for major sub-awardee/partner (as an Annex; not to exceed one page per organization). The Applicant is strongly encouraged to provide specific examples of significant impact of their past projects and how cooperation in prior partnerships/ consortia contributed to that impact. USAID will determine the relevance (complexity, scope, size and magnitude) of similar performance information as a predictor of probable performance under the subject requirement. USAID may consider relevant projects successfully performed during the past three to five years to be "recent past experience."

For each project referenced, provide the following information:

- Instrument type: Agreement, grant, contract, order or other Award Number or other identifying number;
- Agency or entity providing the funding;

- Description of the program or scope of work, including, but not limited to a brief discussion of the complexity/diversity of tasks;
- Primary location(s) of program or work;
- Period of performance;
- Skills/expertise required;
- Dollar/value; and
- Contact information for two persons, including name, job title, mailing address, phone numbers and e-mail address.

USAID/Philippines reserves the right to verify the experience and past performance record of cited projects or other recent projects by reviewing Contractor Performance Reports (CPARs), other performance reports, or to interview cited references or other persons knowledgeable of the Applicant's performance on a particular project. USAID/ Philippines may check any or all cited references to verify supplied information and/or to assess reference satisfaction with performance. The Agreement Officer may also consult other resources and references not provided by the applicant related to the applicant's past performance.

Annexes – (*not included in the page limitations)*

- Acronym List/Definition (not to exceed one page)
- Timeline (not to exceed three pages)
- Situation Model and Results Chains (not to exceed two pages)
- Organizational Chart/Staffing Plan (not to exceed one page)
- Resume of Key Personnel (not to exceed one page/personnel)
- Past Experience and letter of commitment of major sub-awardees (not to exceed two pages per major sub-awardee)
- Other charts, graphs, tables, data or information considered essential to the application (not to exceed two pages)

A. *Timeline*

The timeline should include a gantt chart of indicative activities for a duration of 60 months.

B. *Situation Model[71] and Results Chains[72]*

The Applicant must demonstrate its understanding of the requirements of this NOFO by presenting a general situational model along with an overall Results Chain that graphically illustrate the proposed theory of change that align with the results framework described in Section A of the NOFO. Note that the situational model and

[71] https://usaidlearninglab.org/sites/default/files/resource/files/htg2_summary_508.pdf
[72] https://usaidlearninglab.org/sites/default/files/resource/files/htg1_summary_508.pdf

theory of change will be finalized in the co-development phase of the application process.

C. *Organizational Chart/Staffing Plan*

The organizational chart must show the proposed staffing configuration including, but not limited to, a representation of the staff responsibility and reporting lines, lines of authority, and relationships between the different positions and units. The chart should also show how the sub-awardees will relate with the applicant.

3. Phase 2: Oral Presentation and Draft RFA (Draft Technical Application and Draft Cost Proposal) Content and Format (Upon USAID Request)

Oral Presentation

All oral presentations will follow the same general format in terms of sections and timing for the concept papers selected to move forward in the process described in this NOFO. The oral presentation agenda is as follows:

- Introductions (10 minutes) [Lead: Agreement Officer]
- Oral Presentation to include details of the concept proposal based on the factors in Section E (1.5 hours) [Lead: Applicant]
- Questions and Answers/Discussions – Round 1 (2 hours) [Lead: Selection Committee and Applicant]
- Break for Applicant/USAID Deliberations – (1 hour)
- Questions and Answers/Discussions – Round 2 (1 hour) (Lead: Selection Committee and Applicant]
- Adjournment/Next Steps (10 minutes) [Lead: Agreement Officer]

The Applicant's presenting team should be made up of the Key Personnel, Senior Program Management representatives, and major sub-awardees/partners, as appropriate. The Applicant is limited to seven (7) attendees. All attendees must be present on the date and time specified for the presentation.

The audience for the Oral Presentations will consist of the Selection Committee (SC), the Agreement Officer and the Acquisition & Assistance Specialist/s and potentially external observers. The Agreement Officer will chair the Oral Presentations; however, USAID may use an in-house or contracted moderator to facilitate the presentations.

While the Concept Paper will be presented in PowerPoint format, the remaining discussions will be in Questions and Answers format with little time for consultation among members of the presenting team. Each team member should be an expert and should use PowerPoint to present the salient/important points of the Concept Paper without reading the slide contents verbatim to the audience. Team members must be able to "think on their feet" and to actively participate in the discussion of subsequent Questions and Answers.

Each oral presentation will be evaluated and rated by the SC in accordance with the merit factors set forth under Section E Phase 2 Oral Presentation/Draft RFA Interview Merit Review. The Applicant's presentation must not last more than one and a half hours. **Based on the review, the AO will determine the Apparently Successful Applicant (ASA) who will be invited to submit a full application based on the comments and questions noted during the review.** Unsuccessful applicants after the oral presentation review will be notified accordingly.

Draft RFA (Draft Technical Application and Draft Cost/Business Application)

Draft Technical Application

The written draft technical application will be limited to 25 pages, excluding annexes. The Applicant will organize the draft technical application in the same manner as the concept note. Further instructions about organization, annexes and format will be provided through USAID's request for an oral presentation and draft RFA.

Draft Cost/Business Application Format and Content

The draft cost/business application must be submitted separately from the draft technical application. The applicant must follow the prescribed content and format in Section D. Budget spreadsheets must be in U.S. Dollars, in unlocked Microsoft Excel format, pages with signatures in PDF format.

The draft cost/business Application must cover the full period of performance. The budget should be expressed in U.S. Dollars and must reflect the exchange rate(s) used.

A summary of the budget must be submitted using the Standard Form 424, 424A and 424B. Instructions on how to complete the forms are found here: https://www.grants.gov/forms/sf-424-family.html. The summary budget should have the budget categories as shown in SF424A, with costs broken down by year; detailed/itemized budget; budget narrative explaining costs to be incurred; and other administrative documentation, as necessary. **The forms when submitted, must be signed by an authorized representative of the Applicant's organization.**

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

- **Detailed Budget** (no page limit), which provides a breakdown by elements of cost (e.g. personnel, fringe benefits, travel, equipment, supplies, contractual, construction, other direct costs, indirect costs, cost sharing (if any) for the total estimated amount of implementation of the project according to your organization's approach. The budget shall include costs associated with all programmatic activities during the project implementation.

- **Budget Narrative**, which provides detailed budget explanations and supporting justification of each proposed budget line item. It must briefly describe programmatic relevance and clearly identify the basis of estimate (i.e. how the budget number was determined fair and reasonable) for each cost element, such as market surveys, price quotations, current salaries, historical experience, etc. The budget narrative should demonstrate how the budget supports and allocates sufficient and appropriate funding for all elements of the program activities described in Section A, Program Description of this NOFO.

The cost application should contain the budget categories as shown on the SF-424A:

– ***Personnel/Labor:*** Direct salaries and wages should be proposed in accordance with the organization's personnel policies. Details on the basis of estimate for each proposed salary should be sufficiently addressed in the budget narratives for all positions [key personnel, consultants, short-term technical assistance and non-key personnel]. Any proposed salary increase must be sufficiently justified and supported with the organization's personnel policies (to be provided as annex to the cost application).

  Note: **Annual salary increase** and/or promotional increase may be granted in accordance with the applicant's established policies.

– ***Fringe Benefits:*** If accounted for as a separate item of cost, fringe benefits should be accounted in accordance with local labor law.

– ***Travel and Per Diem:*** The application budget and narrative should indicate the purpose of trip(s), number of trips, domestic and international, and the estimated unit of cost of each. Specify the origin and destination for each proposed trip, duration of travel and number of individuals traveling. Proposed per diem rates must be in accordance with the applicant's established policies and practices that are uniformly applied to federally financed and other activities of the applicant.

– ***Equipment:*** The application should specify the procurement of any tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or $5,000. The application should indicate the quantity of the equipment to be purchased, the unit cost and the total price.

– ***Supplies:*** The application should specify the procurement of all tangible personal property other than those described in Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or $5,000, regardless of the length of its useful life. The application should indicate the quantity of the equipment to be purchased, the unit cost and the total price.

- ***Contractual:*** The application should include, if any, subaward(s). Applicants who intend to utilize other partnering organization(s) should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the applicant. **Major partnering organization(s) the same cost format as submitted by the applicant.**

- ***Construction:*** Construction will not be funded by USAID under this program.

- ***Other Direct Costs (ODC):*** could include costs related to program activities described in the PD; communications, office rental, utilities, report preparation costs, other office operation costs, branding/marking costs, supplies, etc. The narrative should provide a complete breakdown and support for each item of other direct costs.

- ***Cost share****:* ADS 303.3.10 Cost Share defines cost share as “the resources a recipient contributes to the total cost of an agreement. It is the portion of project or program costs not borne by the Federal Government.” Cost share is required under this NOFO.

The following information should be taken into consideration when developing the budget:

(1) Salaries and wages must be reflective of the “market value” for each position. Salaries and wages may not exceed the applicant’s established written personnel policy and practice, including the applicant’s established pay scale for equivalent classifications of employees, which shall be certified by the Applicant.

Salaries for locally employed staff should correspond to the local market averages for similar positions. Applicants are expected to conduct their own market research for determining the salary scale for locally hired positions in Belarus or rely on their previous work experience and other implementing partners’ experience in the region.

(2) This USAID-funded activity implemented under the anticipated cooperative agreement will be for an estimated period of performance of five (5) years; also referred to as the award period. Unless the applicant/Recipient demonstrates otherwise to the USAID Agreement Officer’s satisfaction, Cooperating Country Nationals (CCNs) employed by the applicant/Recipient solely to work under the USAID-funded project under this agreement are considered by USAID as employed by the applicant/Recipient for a specified period not to exceed the agreement period.

(3) If the Applicant or its proposed sub-awardee does not have a negotiated indirect cost rate agreement (NICRA) from any U.S. government audit agency, the applicant must provide information regarding how the fringe benefit rates are applied for each category of employees and an explanation of the benefits included in the rate.

(4) Applicants should include any estimated USAID branding and marking costs in their budget. It is the applicant's responsibility to ensure that all costs related to the implementation of the MEL Plan are included in the cost application. Applicants need to account for resources required for implementing and monitoring the environmental compliance activities in the technical application and in the budget and describe associated costs in detail to the degree possible in the budget narrative.

(5) Details regarding the level of cost share the applicant is proposing for this activity.

D. Risk Assessment

In order for an award to be made, the USAID Agreement Officer must evaluate the risks posed by Applicants as outlined in 2 CFR 200.205 (https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1205&rgn=div8) and ADS 303.3.9 (https://www.usaid.gov/sites/default/files/documents/1868/303.pdf). This means that the Applicant must possess, or must have the ability to obtain the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

i. Financial stability;
ii. Quality of management systems and ability to meet the management standards prescribed in this part;
iii. History of performance. The Applicant's record in managing Federal awards, if it is a prior Recipient of Federal awards, including timelines of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards. Please refer to Section D for the submission of relevant past performance information;
iv. Reports and findings of any other available audits;
v. The Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities; and
vi. Whether the Applicant is otherwise qualified to receive an award under applicable laws and regulations (e.g., Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

In the absence of a positive risk assessment, an award can ordinarily not be made. Awards to potential new Recipients may be significantly delayed if USAID must undertake necessary pre-award surveys of these organizations to make an adequate risk assessment. These organizations should take this into account and plan their implementation dates and activities accordingly.

a. Indirect Cost Rate Agreement

The applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the applicant should submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.

b. Certifications, Assurances, and other Statements of the Applicant

Required assurance, certifications and representations: Applicants are required to complete Certifications, Assurances and other Statements of the Recipient. Please note that these certifications are required for both the applicant and all sub-grantees. Applicants may view the current Certifications, Assurances and Other Statements of the Recipient in ADS 303: http://www.usaid.gov/ads/policy/300/303mav.

c. Additional Information

A. Applicants must submit any additional evidence of financial responsibility deemed necessary for the Agreement Officer to make a positive risk assessment to manage USG funds. The information submitted should substantiate that the applicant:

- Has adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award;

- Has the ability to comply with the award terms and conditions, taking into account all existing and currently prospective commitments of the applicant, both nongovernmental and governmental;

- Has a satisfactory record of performance. Generally, relevant unsatisfactory performance in the past is enough to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance or the applicant has taken adequate corrective measures to assure that it will be able to perform its functions satisfactory;

- Has a satisfactory record of integrity and business ethics; and

- Is otherwise qualified to receive an award under applicable laws and regulations.

B. Proof of Dunn and Bradstreet and SAM registration.

USAID may not award to an Applicant until the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements. The Applicant is required to:

- Be registered in SAM before submitting its full application
- Provide valid unique identifier (DUNS number) in its application; and,
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take several weeks to complete. Therefore, the Applicant is encouraged to obtain them early to be eligible for an award under this NOFO.

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

Completion of an early registration does not constitute any commitment on the part of the U.S. Government to make an award.

d. Funding Restrictions

Any award will not allow for the reimbursement of pre-award costs.

USAID policy is not to award "profit" under assistance instruments to the Prime recipient. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principles under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

e. Potential Request for Additional Documentation

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

The information submitted should substantiate:

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

END OF SECTION D

SECTION E – APPLICATION REVIEW INFORMATION

E.1 MERIT REVIEW CRITERIA

The merit review criteria prescribed here are tailored to the requirements of this NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated. The Phase 1 Concept Papers and Phase 2 Oral Presentation/Draft RFA Interview will be evaluated by a Selection Committee (SC) using the criteria described in this section.

E.2 REVIEW AND SELECTION PROCESS

E.2.a Technical Review

There are two (2) distinct merit review phases as described in Section D. The specific merit review criteria are as follows for each phase:

Merit Review

USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

- Technical Approach;
- Organization Management and Staffing Plan; and
- Organizational Capability and Past Experience.

Phase 1 - Concept Paper Merit Review

<u>Factor 1: Technical Approach</u>

Applicants will be evaluated on the extent to which the Applicant clearly articulates its evidence-based, innovative and feasible technical approach for the key results set forth in the Program Description and convincingly demonstrates the rationale of how it will achieve the desired outcomes of the NOFO.

The proposed methodology incorporates innovative and new techniques that are evidence-based with a high likelihood to increase the effectiveness of the project. The methodology must also build upon best practices and lessons learned/developed by the Applicant, other organizations, or USAID under similar programs. Additionally, the Applicant proposes specific and effective approaches to advance sustainable coastal fisheries management in the Pacific region.

Factor 2: Organizational Management and Staffing Plan

Applicants will be evaluated on the extent to which the Applicant's organizational management and staffing plan demonstrates if the Applicant will effectively and efficiently achieve the objectives set forth in the NOFO. If sub-awardees/partners are proposed, the applicants will also be evaluated whether its proposed partners represent the best combination of organizations to develop and implement this project based on the capability of each member on its specialized area. The organizational management and staffing plan will be evaluated on the extent to which the Applicant describes the division of labor among Applicant and sub-awardees/partners and their coordination and collaboration with the relevant government authorities in the Pacific region, USAID and other stakeholders.

The elements of this review factor include:

- The overall quality of the management and staffing plan to implement the project, including the roles of other partners, as applicable;
- The coherence of the supporting organizational structure, as reflected in the organigram, that matches the required skills to accomplish the full range of program activities;
- Detailed explanation of any proposed partnerships and/or consortium that the Applicant will participate in to carry out project interventions;
- Identified positions for at least three (3) key personnel and the type of skills each key personnel will need as well as their appropriateness to the technical approach outlined in the application.

Factor 3: Organizational Capability and Past Experience

Applicants will be evaluated on the degree to which the Applicant convincingly demonstrates that it possesses the institutional capacity to successfully implement the proposed interventions to achieve the desired outcomes. The elements under this review factor are:

- Demonstrated experience of the Applicant in managing projects of similar size and complexity;
- Demonstrated experience of the Applicant and its major sub-awardees/partners on relevant activities of comparable scope; and
- Demonstrated experience of the Applicant and its major sub-awardees/partners in working in the Pacific region or similar regional context.

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. In such cases the Applicant will be rated "neutral". 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.

Phase 2 – Oral Presentation/Draft RFA Interview Merit Review

Phase 2 - Oral Presentation/Draft RFA will be reviewed based on the following merit criteria and sub-criteria in descending order of importance:

a) Overview of the Technical Approach
b) Personnel and Management Structure
c) Monitoring and Evaluation
d) Proposed Co-Development/Collaborative Approach

Each oral presentation will be evaluated and rated by the Selection Committee (SC) in accordance with the Merit Review Criteria set forth in this section. The Merit Review Criteria are presented in descending order of importance.

Factor 1: Overview of the Technical Approach

The Applicant will be evaluated on:

- The extent to which the Applicant clearly demonstrates the causal logic of its Theory of Change in achieving the objectives of the NOFO;
- The extent to which the Applicant demonstrates that its proposed interventions are realistic, innovative and operationally feasible to achieve the objectives of the NOFO;
- A comprehensive approach including technical assistance to introduce scaling up interventions;
- The extent to which the Applicant integrate the gender perspective discussed in the NOFO; and
- Institutionalization and sustainability to improve the likelihood that the programs being supported will continue beyond and without USAID funding.

Factor 2: Organizational Management and Staffing Plan

The Applicant will be evaluated on the following:

- The Applicant demonstrates a feasible approach to ensure effective coordination and collaboration with various partners, including relevant government authorities, other non-state organizations and other USAID projects/activities;
- The extent to which the Applicant demonstrates that its proposed use of partners/sub-partners/ consortium members/local networks will achieve the various results sought;
- The extent to which Applicant clearly articulate the roles and responsibilities of the Home Office and field-based staff, including their assigned management and decision-making authorities, and how this organizational structure will effectively and efficiently achieve the objectives of the NOFO; and

- The extent to which Applicant demonstrates that its proposed staffing plan and staffing mix of skills and knowledge will enable the Applicant to implement the proposed technical approach effectively.

Factor 3: Monitoring, Evaluation and Learning (MEL) Methodology

The Applicant will be evaluated on the extent to which it clearly describes its MEL, methodology and how the structure of the proposed MEL system will apply adaptive management techniques to inform activity management and key decisions.

Factor 4: Proposed Co-Development/Collaborative Approach

The Applicant will be evaluated on workability of their plan and how they envision the collaborative program description development process. Specifically, the applicant will be evaluated on its planned coordination and communication with USAID, and the role of the Applicant's organization and major sub-awardees/partners if applicable. Using USAID's principles for Collaborating, Learning and Adapting, applicants will also be evaluated on their proposed logical process for collaborative development with a notional timeline for completion of the Program Description with USAID.

E.2.b Cost Review

Review of Proposed Budget

The Draft Cost Application will be reviewed separately from and in conjunction with the Oral Presentation/Draft RFA Interview. While the cost application will not be rated, the Applicant should have a structure that will allow it to provide the greatest value (highest result) at a reasonable cost. The draft cost application will be reviewed to ensure it aligns with the draft technical application.

The Final Cost Application will be reviewed for general completeness, reasonableness, allowability and allocability. Cost realism is an assessment of the accuracy with the proposed costs and represents the most probable cost of performance within the Applicant's technical and management approach. Cost realism review will be performed as part of the review process to: (i) verify the Applicant's understanding of the activity objective; (ii) assess the degree to which the cost application reflects the approaches and/or risk assessments made in the technical application as well as the risk that the Applicant will provide the supplies or services for the offered cost; and (iii) assess the degree to which the cost included in the cost application accurately represent the work effort included in the technical application.

The Final Cost Application will also be reviewed to ensure that all compliance requirements have been satisfied and the Agreement Officer can make an affirmative determination of responsibility.

E.3 PRE-AWARD SURVEYS

Prior to making an award under this competition, the USAID Agreement Officer may perform a pre-award survey of a prospective NGO recipient if he/she determines that any of the following criteria apply, in accordance with USAID ADS Chapter 303.3.9.1:

- USAID is uncertain about the prospective recipient's capacity to perform financially or programmatically.
- The prospective recipient has never had a USAID grant, cooperative agreement, or contract. This requirement does not apply to Fixed Amount Awards.
- The prospective recipient has not received an award from any Federal agency within the last five years. This requirement does not apply to Fixed Amount Awards.
- USAID has knowledge of deficiencies in the applicant's annual audit (Single Audit or equivalent).
- The USAID Agreement Officer determines it to be in the best interest of the U.S. Government.

Accounting systems, audit issues, and management capability questions may be reviewed as part of this process in order to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills in order to achieve the objectives of the program, or whether specific conditions will be needed. If notified by USAID that a pre-award survey is necessary, applicants must prepare in advance the required information and documents. A pre-award survey does not commit USAID to make an award to any organization.

END OF SECTION E

SECTION F – FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 Federal Award Notices

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. 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 Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

- A written award mailed or otherwise furnished to the successful applicant within the application's validity time as specified either in the application or in this NOFO (whichever is later) shall result in a binding Cooperative Agreement without further action by either party. Before the application's specified validity expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received by the applicant before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

- Applicants must set forth full, accurate and complete information as required by this NOFO. The penalty for making false statements to the Government is prescribed in 18 U.S.C. 1001.

- 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.

- USAID reserves the right to perform a pre-award survey which may include, but is not limited to: (1) interviews with individuals to establish their ability to perform agreement duties under the project conditions; (2) a review of the prime recipient's financial condition, business and personnel procedures, etc.; and (3) site visits to the prime recipient's institution.

F.2 ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

The cooperative agreement will be administered in accordance with:

For U.S. Non-governmental organizations

- 2 CFR 200 (https://ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

- 2 CFR 700 (https://www.ecfr.gov/cgi-bin/text-idx?SID=531ffcc47b660d86ca8bbc5a64eed128&mc=true&node=pt2.1.700&rgn=div5)

- ADS 303maa, Standard Provisions for U.S. Non-Governmental Organizations (https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf)

For Non-U.S. Non-Governmental Organizations

- ADS 303mab, Standard Provisions for Non-U.S. Non-Governmental Organizations (https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf)

For Public International Organizations (PIOs)

- ADS 308mab, Standard Provisions for Cost-Type Awards to PIOs (https://www.usaid.gov/sites/default/files/documents/1876/308mab.pdf)

USAID/Philippines Regional Office of Acquisition and Assistance (ROAA) will administer this award. The AO will designate an AOR to review, concur and/or approve on items outlined in Substantial Involvement (Section B.3 of this NOFO).

F.3 REPORTING REQUIREMENTS

The Recipient will adhere to all reporting requirements listed below; further, US Non-governmental organizations need to be in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.327-329).

The Recipient will submit all reports by the due date for approval from the Agreement Officer's Representative (AOR). The Recipient will consult with the AOR on the format and content prior to submission. In addition to the reports below, the AOR may request additional information to contribute to the internal USAID project reviews.

(a) Program Reporting

The Recipient must submit a copy of each report required by this Agreement to the Agreement Officer, the AOR, and the Development Experience Clearinghouse (DEC). Submission to the DEC must be through the public-facing and searchable DEC Web site (http://dec.usaid.gov).

(1) Annual Implementation Plan

The Recipient must work with USAID to develop annual implementation plans in concert with other key USAID/Philippines partners, and are aligned to each USG fiscal year of the agreement. The applicant will prepare a draft Year 1 implementation plan to be submitted with its application. This draft will be finalized with the AOR within 45 days upon completion of the co-development workshop. Subsequent annual implementation plans will be submitted within 30 days before the start of the succeeding fiscal year. The AOR will review and approve the plan within 15 days after receipt of the draft implementation plan.

The implementation plan must include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the Monitoring, Evaluation and Learning (MEL) Plan
- Timeline for implementation of the year's proposed interventions, including target completion dates
- Information on how interventions will be put in place
- Gender Action Plan that will define how gender will be integrated in the activity cycle
- Environmental Risk Mitigation Plan which will describe how environmental compliance and climate risk management will be integrated into activity interventions
- Personnel requirements to achieve expected outcomes
- Details of collaboration with other major partners
- Annual budget with estimates of projected monthly expenditures
- Plan for annual three-day pause-and-reflect workshops

(2) Monitoring, Evaluation and Learning (MEL) Plan

The MEL Plan must describe the agreed upon framework of goals, outcomes, and outputs for the program, along with performance indicators, baselines and targets defined for each, and sex-disaggregated where appropriate. The MEL Plan must describe the evaluative work that the implementing partner will conduct for its own management decision-making, institutional learning, and accountability purposes (see ADS 203.3.1, as revised, for more detailed guidance).

During the first sixty (60) days after the award is made, the Recipient will work closely with the USAID AOR to finalize its MEL Plan. The plan must identify specific indicators for measuring the following aspects of the recipient's performance:

- Progress toward meeting program objectives and sub-objectives; and
- Time frame for achieving these objectives and sub-objectives.

The Recipient will collaborate with the USAID AOR to review/update its MEL Plan, and to monitor and report to USAID.

Both quantitative and qualitative indicators need to be developed and special attention paid to data sources, collection methods, and data quality assessment.

Program monitoring and evaluation comprises an essential component of this cooperative agreement for the following reasons:

- Informs USAID of progress;
- Enables detailed and on-going design of activities and sub-activities; and
- Builds counterparts' capacity to collect and analyze the data for sound decision-making.

At a minimum, the MEL Plan must include the following:

- Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
- Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
- Means of addressing a discovered lack of progress or success. Procedures will focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- A learning and research agenda and how this agenda will help achieve activity level results and contribute to national and international knowledge and learning.
- Information about all activities to be monitored under the MEL Plan. The list of activities must be provided in a logical framework which:

  - Links activities to Agreement results—both those dictated by USAID in the program description and lower level or complementary results contained in the Recipient's approach.
  - Describes assumptions being made about the relationship of the activity to the Agreement result.
  - Identifies the indicators against which progress is to be measured. Includes methods to be used for monitoring.
  - Provides an illustrative schedule for discrete monitoring activities tied to the overall program implementation plan.

- Gender Considerations:

  To the greatest extent possible, the Recipient should seek to include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc. The Recipient must collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

  In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

- The different roles and status of women and men affect the activities to be undertaken; and
- The anticipated results of the work would affect women and men differently.

(3) Sustainability Plan

The Recipient will submit a sustainability plan for the project within the first 60 days of the agreement. This plan should describe specific interventions that are expected to be sustained after the Cooperative Agreement ends. The sustainability plan will be updated annually and progress and updates to the implementation of the plan should be reported on quarterly and annually as part of regular reports.

(4) Quarterly Performance Reports

The Recipient will submit quarterly reports that give insight into the progress of planned activities. Such reports follow USAID fiscal quarters, i.e., Quarter 1 covers October-December; Quarter 2 covers January-March; Quarter 3 covers April-June; Quarter 4 covers July-September. The quarterly report is due within 30 days after the fiscal quarter's end. In lieu of the fourth quarter report, the Recipient will submit an Annual Progress Report (see below). During the final year of implementation, the Recipient will continue to submit quarterly reports except for the fourth quarter when, instead of an Annual Report, the Recipient will be required to submit a Final Report (see below).

The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the quarter. In addition, the narrative report will indicate key implementation challenges encountered and how they were, or are planned to be, resolved. To the extent where MEL Plan includes quarterly targets, this should be reflected in the narrative report.

(5) Annual Progress Reports

The Recipient must submit an annual progress report within 30 days after the end of the fiscal year to cover annual performance from the fiscal year. At a minimum, both quarterly and annual progress reports will contain:

- Progress (interventions completed, benchmarks achieved, and performance standards completed) made since the last report by region and province as applicable
- Problems encountered and whether they were solved or are still outstanding
- Proposed solutions to new or ongoing problems
- Success stories
- Security concerns

- Information on new opportunities for program expansion
- Qualitative data on program achievement and results
- Updated MEL Plan, as an attachment
- Documentation of the best practices that can be taken to scale
- Progress to date on sustainability, gender, climate risk management and environmental risk mitigation plans
- Update on monthly expenditures for the quarter vis-à-vis annual budget

(6) Closeout Plan

No later than six (6) months prior to the completion date of the agreement, the Recipient will submit a close-out plan for the Agreement Officer (AO) approval. The close-out plan shall include:

- Draft property disposition plan
- Plan for the phase-out of in-country operations
- Delivery schedule for all reports or other deliverables required under the agreement
- Timetable for completing all required actions in the close-out plan, including submission date of the final property disposition plan to the AO.

(7) Final Report

The Recipient must submit, within ninety (90) days following the expiration of this cooperative agreement, a detailed final report to the AOR, the Agreement Officer and other relevant stakeholders. The final report will cover the entire period of the award and will include, but is not limited to:

(i) executive summary;
(ii) overall description of the activities and methods of assistance used under the Program during the period of this Cooperative Agreement, and the significance of these activities;
(iii) brief description of the cumulative results towards achieving the program objectives and the performance indicators, as well as an analysis of how the indicators illustrate the program's impact on the accomplishment of the program's overall objectives;
(iv) an assessment of impact of the program in assisting USAID in meeting targets, as well as any unmet targets and the reasons for them;
(v) section reporting on gender, sustainability and institutionalization, environmental compliance and climate risk mitigation;
(vi) success stories;
(vii) discussion on the issues and problems that emerged during program implementation and how they were overcome;
(viii) cost-effectiveness;
(ix) lessons learned; and

(x) recommendations for USAID’s future interventions.

The final/completion report shall also contain an index of all reports and information products produced under this agreement.

Within ninety (90) days following the estimated completion date of this award, the Recipient will submit one (1) original and two (2) copies of the Final Report to the AOR and one (1) copy to the Agreement Officer. In addition, one (1) copy will be submitted to the Development Experience Clearinghouse:

- Electronically: http://www.usaid.gov/results-and-data/informationresources/development-experience-clearinghouse-dec

- By U.S. Postal Service delivery to:

  U.S. Agency for International Development
  Development Experience Clearinghouse
  M/CIO/ITSD/KM
  Ronald Reagan Building M. 01-010
  Washington, DC 20523-6100

Note: For the Quarterly, Annual and Final Reports, the following essential bibliographic information should be included on the cover page:

- Descriptive title;
- Author/s name/s;
- Award number;
- Recipient’s name;
- Development Objective; and
- Date of publication or issuance date of the report.

(b) Financial Reporting

(1) Quarterly Financial Report

The Recipient shall submit quarterly financial reports to USAID no later than ten (10) days prior the end of each USG fiscal quarter. They should be disaggregated at the program area and contain, at a minimum:

- Total award budget;
- Total award funds obligated to date;
- Total funds previously reported as expended by applicant by main line items;
- Total funds expended in the current quarter by budget line items;

- Total funds expended (actual plus estimated accrued) towards the end of the report period
- Total un-liquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Estimated expenditures for remainder of year;
- Estimated expenditures for remainder of project;
- Estimated fund support per province; and
- Total obligated funds expended by main line items to date.

The Recipient must also submit the Federal Financial Form (SF-425) quarterly, no later than 30 days after the end of the quarter, via electronic format to the to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov). The Recipient must submit a copy of SF-425 at the same time to the Agreement Officer Representative (AOR) and the Controller (aidmnlrfsc@usaid.gov).

Electronic copies of SF-425 and instructions for using it can be found at:

http://www.whitehouse.gov/omb/grants/standard_forms/ff_report.pdf
http://www.forms.gov/bgfPortal/docDetails.do?dId=15149
http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf

(2) Final Financial Report

Within 90 days following the estimated completion date of this award, the Recipient must submit to the: (a) USAID/Washington, M/CFO/CMP-LOC Unit; (b) Agreement Officer (manila-roaa-admin@usaid.gov); (c) Controller (aidmnlrfsc@usaid.gov); and (c) Agreement Officer Representative (AOR), the final Federal Financial Form (SF-425)

(3) Foreign Tax Reports

Reporting of foreign taxes under this agreement shall follow the standard provision entitled “Reporting Host Government Taxes (December 2014)” of this award document.

Host government taxes are not allowable where the Agreement Officer provides the necessary means to the recipient to obtain an exemption or refund of such taxes, and the recipient fails to take reasonable steps to obtain such exemption or refund. Otherwise, taxes are allowable in accordance with the Standard Provision, “Applicability of 2 CFR 200 and 2 CFR 700 (December 2014),” and must be reported as required in this provision.

The Recipient must include this reporting requirement in all applicable sub-agreements, including subawards and contracts.

F.4 PROGRAM INCOME

No program income is anticipated under this award. If the successful applicant is a non-profit organization or Public International Organization (PIO), any program income generated under the award will be added to USAID funding (and any cost-sharing that may be provided, if applicable), and used for program purposes. However, pursuant to 2 CFR 200.307 Program Income, if the successful Applicant is a for-profit or commercial organization, any program income generated under the award will be deducted from the U.S. Government share of this award to determine the amount of USAID funding.

Program income is subject to 2 CFR 200.307 for U.S. NGOs or the standard provision entitled Program Income for non-U.S. NGOs.

F.5 BRANDING STRATEGY AND MARKING PLAN:

It is a federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended and 2 CFR 700.16) that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID identity. In accordance with ADS 320.3.3 Branding and Marking Requirements for Assistance Awards USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are "co-branded and co-marked."

The Apparently Successful Applicant will be required to submit a branding strategy and marking plan for the Agreement Officer approval prior to award. The applicant may request a presumptive exemption to marking requirements established in 2 CFR 700.16. More information on Branding strategy and Marking plan are available at https://www.usaid.gov/branding/assistance-awards.

The branding strategy and marking plan will become a material element of the cooperative agreement. Information on USAID's branding "assistance" applies to this NOFO. ADS Chapter 320 sections concerning "acquisition" do not apply to this NOFO. ADS Chapter 320 can be found on USAID website: http://www.usaid.gov/policy/ads/300/320.pdf.

When requesting a Branding Strategy and Marking Plan, the Agreement Officer will establish a reasonable time frame for submittal, review, and negotiation. If the Apparently Successful Applicant(s) fail(s) to submit or negotiate an acceptable Branding Strategy within the time specified by the Agreement Officer, that/those applicant(s) become(s) ineligible for award.

The Agreement Officer will review the proposed Branding Strategy and Marking Plan for adequacy to ensure that it complies with the Agency branding and marking guidance that can be found at http://www.usaid.gov/branding/ and at http://www.usaid.gov/policy/ads/300/320.pdf .

Applicants need to include anticipated costs for branding strategy and marking plan in the budget and describe these costs in detail to the degree possible in the budget narrative. The Agreement

Officer will ensure that any estimated costs associated with branding and marking are included in the Total Estimated Amount of the grant or cooperative agreement or other assistance award.

Pre-Award Terms for the Branding Strategy and Marking Plan are provided in Annex 2 of this NOFO.

F.6 ENVIRONMENTAL COMPLIANCE:

1) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) ADS 201 and ADS 204, which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NOFO.

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

3) No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

4) The Initial Environmental Examination (IEE) Number 2020-BYE-002 (Annex 1 of this NOFO) has been approved for the Activity funding this Cooperative Agreement and defines ce terms and conditions for this award. It will cover program activities during the implementation period. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities discussed in Program Description. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

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

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

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

Applicants need to account for resources required for implementing and monitoring the environmental compliance activities in the technical application and in the budget and describe associated costs in detail to the degree possible in the budget narrative.

END OF SECTION F

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SECTION G – FEDERAL AWARDING AGENCY CONTACT(S)

G.1 Agency Point of Contact

Name: Béatricé M. Condé
Title: Supervisory Agreement Officer
Address: Regional Office of Acquisition and Assistance (ROAA), 3/F Annex 2 Building, U.S. Embassy Compound, 1201 Roxas Boulevard, Ermita Manila, Philippines 1000
Email: bconde@usaid.gov

Any prospective Applicant seeking an explanation or interpretation of this NOFO must request it in writing by the due date and time specified on the cover page of this NOFO in order to allow a reply to reach all prospective Applicants before the submission of their Concept Paper. Oral explanations or instructions given before award will not be binding. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment of this NOFO if that information is necessary in submitting applications or if lack of it would be prejudicial to any other prospective Applicants.

Please note that only the Agreement Officer is authorized to make commitments on behalf of USAID/Philippines.

END OF SECTION G

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SECTION H – OTHER INFORMATION

Applicants must be aware that the John S. McCain National Defense Authorization Act (NDAA) for Fiscal Year 2019 (Pub. L. 115-232) precipitated changes to 2 CFR 200 and USAID Standard Provisions for Non-US Nongovernment Organizations. As of August 2020, the changes must be incorporated into any award that results from this NOFO. Below is the full text of the standard provision for Non-US Nongovernmental Organizations.

Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment (August 2020)

a. The Recipient is prohibited from using grant funds, including direct and indirect costs, program income, and any cost share to:

(1) Procure or obtain;

(2) Extend or renew a contract to procure or obtain; or

(3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system.

b. Telecommunication costs and video surveillance costs incurred for telecommunications and video surveillance services and equipment such as phones, internet, video surveillance, and cloud servers are allowable except for those referenced in paragraph a. above.

c. Definitions. The terms used in this provision have the following meanings:

(1) “Covered telecommunication equipment or services” as defined in Pub. L. 115-232, Section 889, means any of the following:

i. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

ii. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

iii. Telecommunications or video surveillance services provided by such entities or using such equipment.

iv. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

(2) “Covered foreign country” is defined in Pub. L. 115-232, Section 889 as the People’s Republic of China.

(3) “Telecommunications costs” as defined in 2 CFR 200.1 means the cost of using communication and telephony technologies such as mobile phones, land lines, and internet.

d. This provision must be incorporated into all subawards.

[END OF PROVISION]

Applications with Proprietary Data

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

> *“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”*

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

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

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Annex 1 - INITIAL ENVIRONMENTAL EXAMINATION (IEE)

2020-BYE-002

Project/Activity Data:

Project/Activity Name: Pacific Sustainable Coastal Fisheries Activity
Amendment: No
Geographic Location(s) (Country): Pacific Island Countries
Implementation Start Date: o/a 6/1/2020
End Date: o/a 5/31/2025
Bureau Tracking ID:
Tracking ID of Related RCE/IEE (if any):
Tracking ID of Other, Related Analyses (if any):

Organizational/Administrative Data

Implementing Operating Unit(s): Philippines, Pacific Islands and Mongolia Mission
Total Estimated Cost: $15 million
If amended, specify previous funding amount:
If amended, specify new funding total:
Prepared by: Rebecca Guieb
Date Prepared: 4/1/2020

Environmental Compliance Review Data

Environmental Determination(s):
Categorical Exclusion: [X] Negative Determination with Conditions: [X]
Positive Determination: [ ] Deferral: [ ]
IEE Expiration Date: 5/31/2025

Additional Analyses/Reporting Required

Climate Risk Rating(s): Low ___X___ Moderate ___X___ High __X____