



USAID | DEMOCRATIC REPUBLIC OF THE CONGO

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

ADDENDUM TO ANNUAL PROGRAM STATEMENT (APS) NO. 7200AA19APS00012

CALL FOR PARTNERSHIP CONCEPT PAPERS FOR ADVANCING THE RIGHTS OF INDIGENOUS PEOPLES IN THE DEMOCRATIC REPUBLIC OF THE CONGO (DRC) ACTIVITY

Issue Date: May 27, 2020

Questions Due: June 15, 2020, 4:00 pm DRC local time (GMT+1)

Closing Date and Time for Submission of Concept Notes: July 20, 2020, 4:00 pm DRC local time

Catalog of Federal Domestic Assistance: 98.001, Foreign Assistance for Programs Overseas

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government, represented by the U.S. Agency for International Development (USAID), invites interested Applicant(s) to submit Concept Note(s) that aim to Advance the Rights of Indigenous Peoples in the Democratic Republic of the Congo (DRC).

This Addendum is not a Request for Application (RFA) but rather a request for Concept Notes. To be considered for evaluation and subsequent award, the Concept Note must be fully responsive to the Requirements of this Addendum and the APS. Based on the submitted Concept Note, USAID will select those organizations that meet the requirements of this announcement. USAID will evaluate the Concept Notes based on the Criteria described in Section C. VI. After USAID evaluates and selects the successful Concept Notes, USAID will determine whether to request a Full Application from an eligible organization. Issuance of this Addendum does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in preparation and submission of a Concept Note(s) or Application(s). All interested organizations must carefully review both this Addendum AND the Annual Program Statement (APS) No. 7200AA19APS00012, including its associated amendments, which can be found here: <https://www.grants.gov/web/grants/view-opportunity.html?oppId=315424>. The APS is the core of this specific Addendum, and important information contained in the APS announcement may not be repeated in this Addendum.

This Addendum is focused on requirements as they relate to USAID/DRC's Advancing the Rights of Indigenous Peoples Activity in the Democratic Republic of the Congo (DRC).

Through this Addendum to the New Partnership Initiative: Conflict Prevention and Recovery Program (NPI:CPRP) APS, No. 7200AA19APS00012 (the NPI:CPRP APS), **USAID/DRC is making a special call for the submission of Concept Notes focused on advancing the rights of Indigenous Peoples in conflict affected areas of eastern DRC. This Addendum is also**

intended to diversify and broaden USAID's partner base, as described in the APS announcement.

To be eligible for an award, the Applicant must provide all information as required and meet eligibility standards of this APS Addendum. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the Applicant to ensure that the entire APS Addendum has been downloaded from www.grants.gov in its entirety as USAID bears no responsibility for data errors resulting from a transmission or conversion process. In case of difficulty registering on www.grants.gov or accessing the APS Addendum, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov.

Please send any questions by the due date to the point of contact identified in this notice. Responses to questions received prior to the deadline will be furnished to all potential Applicants through an amendment to this notice posted to www.grants.gov.

Thank you for your interest in USAID programs.

Sincerely

/Signed/
Charles Pope
Agreement Officer

SECTION A -- PROGRAM DESCRIPTION

I. Overview of Funding Opportunity

Indigenous Peoples are among the most marginalized, disadvantaged, and vulnerable populations in the Democratic Republic of the Congo (DRC), and have increasingly become both a victim and a party to inter-communal conflict in the provinces of Ituri, Tanganyika, and South Kivu. Awards under this Addendum will support efforts to respond to conflict in and around protected areas in eastern DRC by advancing the rights of this historically marginalized group.

USAID will prioritize applications that enable USAID to partner with new and underutilized development actors as described below and in the APS, as a larger and more diverse partner base will expand the ideas, skills, and networks to address shared development challenges. Successful applicants under this Addendum must be able to demonstrate the commitment of the central government of the DRC to implementation of the NPI program in a transparent and accountable manner. Applicants must also prioritize the participation of local organizations (see Section C.1) as implementers and provide for the training and mentoring of such organizations. Key results towards the achievement of this goal must include metrics that measure the impact and effectiveness of the NPI program as well as the benefits to women, men, and youth. Any proposed intervention or activity must have an explicit and direct link to the achievement of both the objectives set forth in the NPI: CPRP APS and USAID/DRC programmatic objectives as defined herein.

II. Background Information

The Democratic Republic of the Congo (DRC) is home to a sizable population of Indigenous Peoples living in and around forests¹including the Batwa, Bambuti, Efe, and Baka.² Indigenous Peoples, with their wealth of traditional knowledge and practices, are important stakeholders in a wide range of critical ecosystems in eastern DRC and play a key role in preserving the biological diversity of protected areas, reducing deforestation, and countering wildlife trafficking. Unfortunately, Indigenous Peoples are among the most unrepresented, marginalized, disadvantaged, and vulnerable populations in the DRC, including in the conflict affected provinces of Ituri, Tanganyika, and South Kivu. Indigenous Peoples face systemic exclusion from social, economic, and political life. These historically marginalized groups are rarely represented in decision-making bodies and their access to basic services, including health and education, remain well below the national average.³ Indigenous Peoples, especially women, girls and those with disabilities, are also subject to numerous human rights violations, including sexual and gender based violence and human trafficking.

In January 2018, civil society organizations sent a letter to UNESCO's World Heritage Centre drawing attention to the longstanding expulsion and permanent exclusion of the Batwa from the

¹ The government estimates the population at around 600,000 (1% of the Congolese population) but civil society gives a figure of up to 2,000,000 (3% of the population). Source: *Indigenous World 2019*. International Working Group for Indigenous Affairs

² Collectively known as 'autochthons' in the DRC.

³ International Working Group for Indigenous Affairs

Kahuzi Biega National Park. In another case, conflict between the Baluba and Batwa in Tanganyika over land and customary practices has intensified and led to the displacement of 500,000 to 650,000 people.⁴ USAID/DRC has invested in inter-communal conflict mitigation that addresses the rights-based grievances of IPs in Tanganyika and South Kivu. Furthermore, USAID/DRC undertook a consultative assessment to strengthen engagement of Indigenous Peoples in the Central Africa Regional Program of the Environment (CARPE)⁵ in January 2020 in addition to a literacy landscape analysis. Initial findings indicate that provision of health and educational services as well as alternative livelihoods are priorities for Indigenous Peoples. Recognizing and protecting Indigenous Peoples' rights (including customary land and natural resource access-rights), and creating the conditions for a relationship of trust between protected area authorities, and Indigenous Peoples and Local Communities (IPLCs) who live in and around protected areas were cited as fundamental for meaningful engagement.

During his first year in office, President Tshisekedi has taken significant steps to reopen political space and champion the rights of women and marginalized groups. Advancing the rights of Indigenous Peoples has been among his priorities and he reiterated this commitment during his January 2019 Inaugural Address and during the State of the Union in December 2019. The National Assembly is considering introducing legislation to recognize the rights of Indigenous Peoples during the next session of parliament. While efforts to recognize Indigenous Peoples through a national-level law have stalled, there is renewed optimism for its passage given the commitment of the new administration.

Given this context and recognizing that eastern Congo is home to numerous armed groups that exploit protected areas as well as IPLCs who live in and around them, protected areas have the potential to be anchors of stability by providing security to both people and wildlife. USAID/DRC is therefore seeking applications under the NPI APS to engage Indigenous Peoples as authentic partners in the development process in order to prevent and resolve conflict, promote respect for human rights, and sustainably manage the environment.

III. Purpose and Development Results

USAID invites eligible organizations (see Section C.1) to submit Concept Notes for partnering with USAID to achieve our shared development objectives. USAID/DRC is focused on collaboration and partnerships to achieve the *goal of advancing the rights of Indigenous Peoples in the DRC* via the following results:

- **Intermediate Result 1:** Empower Indigenous Peoples (women, men, and youth) to exercise their rights, participate in decision-making processes that impact them, practice self-determined development, protect and promote their cultural heritage;
- **Intermediate Result IR 2:** Promote improved inter-communal dialogue and collaboration among IPLCs (women, men, and youth) in and around targeted protected areas;
- **Intermediate Result IR 3:** Improve access to basic services that meet the needs of IPLCs (women, men and youth) in and around targeted protected areas;

⁴ *Indigenous World 2019*. International Working Group for Indigenous Affairs

⁵ <https://carpe.umd.edu/>

- Intermediate Result IR 4: Improve the rural economy of IPLCs in and around protected areas through implementation of economic interventions tailored to the needs and skills of women, men, and youth.

Illustrative examples of thematic areas for engagement under each Intermediate Result (IR), include but are not limited to:

- **IR 1:** Strengthen Indigenous Peoples' governance structures, technical and professional capacities, as well as management and leadership skills; promote and/or enhance platforms to voice concerns and grievances and for trust-building; promote legitimate representation in decision-making processes; awareness-raising on the rights of Indigenous Peoples; capacity building for Indigenous Peoples representatives to meaningfully engage in political processes and local governance; support for traditional knowledge and practices; promotion and protection of cultural heritage via analyses, research, and production of language maps; engagement of IPLCs in tourism, nature conservation, protected area management; support for youth and women's groups for conservation; support for Indigenous and Community Conserved Areas (ICCAs).
- **IR 2:** Support people to people peacebuilding including via management of common property natural resources such as fisheries, community forestry, and agroforestry to build social cohesion; strengthen resource and land tenure through means such as land tenure analyses and mitigation of land claim disputes, securing access-rights to ancestral land, community forestry concessions, and use-rights of forest flora and fauna as per cultural and traditional practices; third-party facilitation and conflict analyses in support of peace processes; promotion of village, savings, loan associations (VSLA).
- **IR 3:** improved health, clean energy, legal, and educational services; strengthening associated infrastructure in line with self-reliance such as schools and libraries, health and community centers; improved water sanitation and hygiene (WASH) services including community water access points; care for survivors of sexual and gender-based violence and attacks by armed groups, trauma healing; improved education via opportunities for scholarships, vocational, and alternative learning and other training such as masonry, carpentry, construction, and other technical vocations; advocacy for traditional access to land and natural resources including support for traditional and cultural practices pertaining to healthcare, language, and education.
- **IR 4:** analyses of demand for potential products and services, capacities of local producers, and constraints in line with environmental sustainability to inform interventions; improved market access via transportation, cell phone, and market services such as mobile money, and electricity services that help the whole community; promoting culturally appropriate economic growth partnerships with Indigenous Peoples, enhancing their ability to partner with stakeholders such as the private sector, while respecting traditional livelihoods and in line with their self-determined development goals; encouraging small business and micro-enterprise; engaging the private sector for investments in common resources with appropriate plans for local ownership and financial sustainability.

The proposed approach must be cross-sectoral and have a clear vision and implementation strategy that fully empowers Indigenous Peoples and fully integrates gender and youth considerations. In this vein, Applicants are encouraged to propose an approach that will leverage opportunities to close gender gaps and promote women's leadership and empowerment. The Applicant may choose to include multiple Intermediate Results, and any associated interventions, as part of their approach but must include IR 1 and IR 3 (with discretion to choose appropriate interventions under the IRs) and clearly describe how the approach contributes to the goal of *advancing the rights of Indigenous Peoples in the DRC*.

USAID's *Policy on Promoting the Rights of Indigenous Peoples*⁶ aims to ensure that USAID programs that impact the lives, territories, resources, and/or livelihoods of Indigenous Peoples engages them directly and meaningfully in program design, implementation, monitoring and evaluation to ensure that these communities benefit from development interventions, and exercise independent decision making in development processes. The approach shall engage with traditional decision making processes, leaders, men, women, and youth from *both* Indigenous Peoples' and Local Communities, the latter who may be members of other groups, living in and around protected areas. The two communities are referred to collectively in this Addendum as *Indigenous Peoples and Local Communities* (IPLCs) and such collaboration can build social cohesion as the groups may be closely linked. USAID's inclusive development policies⁷ should be integrated with direct detailed analysis of marginalized groups and a special emphasis on gender. A strategy to hire members of IPLCs in the project team and incorporate them in implementation should be presented with emphasis placed on capacity building activities including training and education opportunities. All interventions shall receive the consent of appropriate Indigenous Peoples' institutions and solicit their participation in line with the principles of Free, Prior, and Informed Consent (FPIC).

Recognizing that there are several intertwined and complex conflicts in DRC, Applicants must propose a conflict-sensitive approach that clearly articulates the extent to which proposed interventions mitigate risks while maximizing opportunities to positively impact the context. The approach must also propose a grievance mechanism, feedback loop, and/or independent monitoring mechanism where the concerns of all stakeholders are received and incorporated to ensure activities do no harm and that stakeholders have a safe space to successfully meet their commitments. Where appropriate, this should be integrated with existing efforts. Furthermore, Applicants are encouraged to consider impacts of prior projects that have been implemented in their proposed intervention zones, with respect to Indigenous Peoples, that may affect perceptions of the proposed program.

Applicants are encouraged to propose activities in and/or around one or more of the following priority protected areas:

- Okapi Wildlife Reserve, Ituri
- Kahuzi-Biega National Park, South Kivu

⁶ USAID Policy on Promoting the Rights of Indigenous Peoples: <https://www.usaid.gov/indigenous-peoples>

⁷ USAID Inclusive Development guidance:

https://usaيدlearninglab.org/sites/default/files/resource/files/additional_help_for_ads_201_inclusive_development_180726_final_r.pdf

- Kabobo Natural Reserve, Tanganyika

The Applicant may also propose activities in and/or around additional protected areas in conflict affected areas of eastern DRC.

IV. Coordination and Complementarity with Other Activities

USAID encourages Applicants to plan for collaboration with other USAID activities as appropriate, including but not limited to:

- USAID's Solutions for Peace & Recovery (SPR) Activity
- USAID's Tanganyika Conflict Mitigation & Reconciliation (TCMR) Activity
- USAID's Media Sector Development Activity
- USAID's Integrated Governance Activity (IGA)
- USAID's Feed the Future DRC Strengthening Value Chains (SVC) Activity
- USAID's Building Effective Management and Sustainable Financing of the Okapi Wildlife Reserve through a Public Private Partnership*

*Pending award. In addition, USAID also encourages Concept Note(s) to leverage work being supported by other donors, private sector entities, associations, host governments, and all other relevant local stakeholders.

SECTION B -- FEDERAL AWARD INFORMATION

Subject to the availability of funds, USAID anticipates the total estimated cost to be \$10 million over the course of four (4) to five (5) years, with funding for individual program applications estimated in the range of \$1 million to \$8 million in accordance with Parts 700 and 200 of Title 2 of the CFR, and ADS 303 Standard Provisions for U.S./non-U.S. organizations. The proposed period of performance is between 3 to 5 years. Priority will be placed on supporting the most promising approaches to the objective described herein.

In accordance with ADS 303, the appropriate type of assistance mechanism may take the form of a grant (including but not limited to a fixed-amount award) or cooperative agreement. The decision will be determined by the cognizant Agreement Officer (AO).

NOTE: Applications for renewal or supplementation of existing projects are eligible to compete.

SECTION C -- ELIGIBILITY INFORMATION

I. Eligible Organizations

USAID encourages submission of Concept Note(s) from all potential partners, which may include: U.S. and non-U.S., for-profit, however, the resulting awards will not allow for profit, non-profit, and non-governmental organizations. The organization/entity must be a legally recognized organizational entity in the country where it operates. The NPI:CPRP APS details what organizations are eligible to apply for awards under the Addendum. **Please review the**

NPI:CPRP APS Section III: Eligibility Information for eligibility requirements. NPI partnership proposals may result in any of the following:

1. Reflect one (1) of the following four (4) forms:
 - a. Direct awards to new and underutilized organizations that are local entities in the host country or countries for which the Applicant is applying;
 - b. Direct awards to new and underutilized organizations that are LEPs in the host country or countries for which the Applicant is applying;
 - c. Sub-awards to new or underutilized partners via prime awardees that serve in a limited mentorship role; OR
 - d. Direct awards to partners underutilized with respect to opportunities to leverage private / non-U.S. Government funding.

In addition to any requirements listed in the NPI:CPRP APS, this Addendum further defines eligibility requirements:

Type of Partnership	Eligibility Requirements
1. Direct Awards to New and Underutilized Local Entities	For the purposes of this Addendum, local entity means an individual, a corporation, a nonprofit organization, or another body of persons that— (1) is legally organized under the laws of the DRC; (2) has as its principal place of business or operations in the DRC; (3) is majority owned by individuals who are citizens or lawful permanent residents of; and (4) managed by a governing body the majority of who are citizens or lawful permanent residents of the DRC; a country receiving assistance from funds appropriated under title III of this Act. (a) For purposes of this Addendum, “majority-owned” and “-managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.”

2. Direct Awards to New and Underutilized Locally-Established Partners (LEP)	LEP must: ● Have maintained continuous operations in-country for at least five years and materially demonstrate a long-term presence in a country through adherence or alignment to the following: ○ Local staff should comprise at least 50% of office personnel, ○ Maintenance of a dedicated local office, ○ Registration with the appropriate local authorities, ○ A local bank account, and ○ A portfolio of locally implemented programs. ● Have demonstrated links to the local community, including: ○ If the organization has a governing body or board of directors, then it must include a majority of local citizens; ○ A letter of support from a local organization to attest to its work; and ○ Other criteria that an organization proposes to demonstrate its local roots.
3. Mentoring Awards to organizations that provide sub-grants	Per definition provided under Section III of the APS. No additional requirements.
4. Leverage Awards to organizations that co-fund	Per definition provided under Section III of the APS. No additional requirements.

Applicants must complete and include the Eligibility Certification Form (**Attachment 2**) with their Concept Note submission.

II. Potential Award Types

USAID has a number of assistance award types to choose when providing funds to successful Applicants. The type of award and terms and conditions included therein is based upon recipient organization type, program factors, and other due-diligence matters (including responsibility determinations). The following types of awards may be issued by USAID/DRC:

Award Type:	Generally used when:	Characterized by:	More Information:
Fixed-Amount Award (FAA)	Milestones can be defined; Adequate pricing information is available; Recipient has limited financial and management capacity. Must be a grant - not a cooperative agreement.	Advantages for both USAID and the Recipient (when used appropriately). Milestones with fixed amounts assigned to each. Focus is on output and results, limits risk for both parties. USAID pays the grantee when the Agency concurs that milestone is completed. Minimizes administrative burden on USAID and the grantee, since payment is not cost reimbursement. Assists in building the institutional capacity of new grantees.	https://www.usaid.gov/ads/policy/300/303saj
Grants	Recipient has adequate financial and management capacity to operate on a cost reimbursement basis with the U.S. Government, and USAID will not be “substantially involved” in selected programmatic elements.	A grant is a legal instrument used when the principal purpose is to transfer anything of value (i.e. money, property, or services) to a recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are appropriate when substantial involvement by USAID is not anticipated.	https://www.usaid.gov/ads/policy/300/303
Cooperative Agreements	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government	Recipient is free to pursue its sponsored program, with USAID’s Agreement Officer’s Representative (AOR) involved in defined technical areas (referred to as “substantial involvement”). Such involvement may include approval of annual work plans, approval of key personnel, authority to halt a construction project, and joint collaboration and participation (defined in the award and specific to the project)	https://www.usaid.gov/ads/policy/300/303
Renewal Awards (Cooperative Agreements or Grants)	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the U.S. Government and USAID will engage in and fund multiple years/an expanded program based on the success of the efforts and program during the	A renewal award allows a grant or cooperative agreement to adapt, within the five-year maximum period of performance, to changing contexts, lessons learned during implementation, and performance by related activities within a project that affect the overall effectiveness of the initial award. The ‘continuing application’ feature of this award means that implementers will “re-apply” for continuation of the program through an oral	https://www.usaid.gov/ads/policy/300/303

	initial year of the award.	presentation of the annual report of previous years' results and work plan for the next year. This type of award allows USAID flexibility to extend and/or expand the program as well as end programs that do not meet the potential or have the impact described during the Concept Note and original award phase.	
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III. Other Relevant Information

A. Establishment Clause

While USAID encourages interfaith interventions and encourages faith-based organizations to apply for funding, it is important to note that the U.S. Constitution's First Amendment's "Establishment Clause" prohibits the U.S. government from unduly favoring one religion or sect over another. It also prohibits the government from unduly preferring religion over non-religion, or non-religion over religion. Foreign assistance funds may be used to support activities promoting non-violence, tolerance, and acceptance of religious and cultural diversity. However, these funds may not be used to provide religious instruction, including programs to teach a more moderate religious belief as the correct religious interpretation of any religion's tenets. In addition, religious activities must not be mandatory for any beneficiaries of U.S. government-supported programs. Activities permitted under the above principles have included training for religious and other community leaders to help them recognize the risks of radicalization to violence in their communities; support for lectures by religious leaders that focus on secular objectives such as peaceful conflict resolution; and support for "round table" discussions to engage members of affected communities, including religious groups, in peaceful dialogue.

B. Gender Considerations.

Applicants should describe how gender equality and women's empowerment will be incorporated in all phases of the proposed program and particularly with respect to conflict-sensitivity, conflict mitigation, and peacebuilding. Key gender disparities must be deliberately and adequately identified and addressed in the strategic and technical approach, monitoring and evaluation, staffing, case studies, and analyses. Applicants must demonstrate an institutional commitment to gender equality and women's empowerment through their policies, staffing, and operations, including but not limited to: retaining and promoting women within their organizations, policies and practices related to non-discrimination, prevention of sexual harassment, and use of women-owned or women-led entities as subawardees/subcontractors.

The U.S. Women's Entrepreneurship and Economic Empowerment Act (WEEE) (U.S. Public Law No: 115-428) requires all of USAID's programming to be informed by a gender analysis, and to integrate gender analysis results across the USAID Program Cycle.

As such, USAID will request successful applicant(s) to conduct an activity-level gender analysis to inform implementation and develop gender action plans or strategies describing how gender will be integrated into all phases of implementation. Gender equality and female empowerment (GEFE) requirements found in ADS 205⁸ and Applicants are encouraged to refer to USAID's Programming Toolkit for Gender Integration in Democracy, Human Rights, & Governance (DRG).⁹

C. Cost Sharing or Matching

USAID has established a suggested recipient cost share or leverage* of ten percent (10%) to twenty-five percent (25%) of projected award amount for the award. Such funds may be provided directly by the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

*Leverage is defined by the Agency as: Significant resources mobilized from non-U.S. Government sources. USAID seeks the mobilization of resources of other actors on a 1:2 or greater basis (i.e., 50 percent of the proposed value of the award). Leveraged resources may include grants/awards from non-U.S. Government organizations and other donor governments. (ADS 201, 303, 623)

Note: Applicants **will not** be graded favorably or unfavorably as a result of the cost share or leverage provided for in the Applicant's program. The Application will be graded purely on merit review in Section D.VI of this Addendum.

SECTION D -- APPLICATION AND SUBMISSION INFORMATION

I. Concept Note Instructions

Applicants are required to follow the Application and Submission Information instructions set forth in Section IV of the NPI:CPRP APS and submit Concept Notes using the Concept Note Template in **Attachment 1**. The Eligibility Certification Form in **Attachment 2** must also be completed and submitted.

There is no limitation on the number of Concept Note submissions a single organization may submit.

II. The Concept Note Content:

- Applicants should submit only the information and materials requested in the Concept Note Template.

⁸ ADS 205, Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: <https://www.usaid.gov/sites/default/files/documents/1870/205.pdf>

⁹ USAID Programming Toolkit for Gender Integration in Democracy, Human Rights, & Governance (DRG) <https://www.usaid.gov/sites/default/files/documents/2496/Gender%20Toolkit.pdf>

- Concept Notes must be written in English.
- Concept Notes must not exceed five (5) pages, using 1” page margins with 12-point font. The five-page limit does not include the completed Eligibility Certification Form.
- Concept Notes must be submitted electronically in Word 2000 or Word 2003 text accessible or Adobe PDF.

Clarity and specificity are important therefore, applicants must ensure that the information provided in **Attachment 1** fully describes the activity proposed. Applicants should become familiar with the USAID/DRC strategy and priorities and information provided in the Concept Note should address the objectives and criteria presented in **Section D. VI**. USAID may reject those Concept Notes that are vague or merely restate language found in the Addendum.

In accordance with the NPI: CRPR APS, Applicants should also reflect thoughtful considerations of any risks that could result by bringing together conflicting parties and should provide sufficient explanation of how it will establish and monitor appropriate safeguards to avoid intensifying the conflict or creating harmful situations for participants. A discussion on Do No Harm (DNH) should not be an isolated discussion and Applicants should address DNH holistically, as per Section 1.D. of the NPI: CRPR APS.

The Concept Note (as per Attachment 1) and the Eligibility Certification form (Attachment 2) should be submitted to: bibarra@usaid.gov. Letters of support from potential partner organizations and/or sub-recipients are also authorized to be attached as supporting documentation. Concept Notes must be submitted by the established time and date in order to be considered. Please indicate “Concept Note for Advancing the Rights of Indigenous Peoples in the DRC” in the e-mail subject line when submitting the Concept Note. Questions regarding the substance and objectives of this Addendum should be directed to bibarra@usaid.gov by the established date and time indicated on the cover page of this addendum.

Concept Notes can be submitted based on the below timeline:

Acceptance Period:	Will be reviewed by a USAID Selection Committee convening o/a:
After the issuance of this Addendum and before the Concept Note submission deadline of July 20, 2020 at 4:00pm DRC time (GMT+1).	August 14th, 2020.

USAID/DRC anticipates notifying Applicants via e-mail of receipt of Concept Notes within 4 days of submission. Applicants should request confirmation of receipt of Concept Notes to the point of contact above. As detailed in the section below, after USAID/DRC has completed the review of all Concept Notes, it will inform the Applicant whether further development discussions are warranted, and, subsequent to those discussions, whether a full application will be requested.

USAID encourages prime Applicant(s) to have an issued DUNS number, www.sam.gov registration, and for non-U.S. organizations, a NATO Commercial and Governmental Entity (NCAGE) code as early as possible, although this is not required at the Concept Note stage. The

registration process for a DUNS number, sam.gov, and/or NCAGE may take many weeks to complete. Therefore, Applicants are encouraged to begin the process as early as possible.

USAID may not make an award to an Applicant until the Applicant has complied with all applicable DUNS and SAM requirements and, if an Applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the Applicant is not qualified to receive an award and may use that determination as a basis for making an award to another Applicant.

Resources on obtaining a DUNS number can be found at:

<https://www.grants.gov/Applicants/organization-Registration/step-1-obtain-duns-number.html> and <http://fedgov.dnb.com/webform>

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

SAM: Quick Start Guide for New Grantee Registration

https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

SAM: Quick Start Guide for International Registrants

https://www.sam.gov/SAM/transcript/Quick_Guide_for_International_Entity_Registration.pdf

III. Application Process

The following provides an outline of the three-phase process:

Phase 1: Concept Note Submission & Review

Applicants may submit a Concept Note in response to this Addendum during the Acceptance Period. USAID will acknowledge Concept Note submissions no later than 4 days of receipt.

Concept Notes will be reviewed against the merit review criteria detailed below during the Merit Review Period.

As set forth in the NPI:CPRP APS, Applicant's Concept Notes must reflect the following three requirements:

1. Define a measurable and feasible impact per Section F of Attachment 1;
2. Concisely describe the implementation plan that will achieve the proposed programmatic objectives within the period of perform (no longer than 60-months) per Section E of Attachment 1; and
3. Concisely describe a commitment to the principles of Collaborating, Learning, and Adapting: <https://usaidlearninglab.org/qrg/understanding-cla-0>.

If Concept Notes do not meet these three requirements they will be rejected and will not be evaluated further.

Applicants should anticipate receiving an initial response from USAID by on or around September 4th, 2020. USAID will notify potential Applicants of significant changes in the submission and

review process timeline through a written amendment to this Addendum. USAID, at its sole discretion, reserves the right to review Concept Notes out of cycle.

USAID anticipates two (2) possible initial responses from the Concept Note merit review process during phase 1:

- **Conditional Acceptance** - Invited for Co-Creation: Concept Note received a strong rating against the Merit Review Criteria. USAID/DRC will invite the Applicant(s) to engage in Co-Creation.
- **Rejection:** Concept Note received an average to low rating against the Merit Review Criteria and was not selected to move forward with Co-Creation at this time.

Phase 2: Co-Creation

Applicants whose Concept Notes are invited for Co-Creation will engage with USAID/DRC to work through areas of weakness and to respond to USAID/DRC questions and clarify aspects of the concept that are not clear.

The Co-Creation process builds on the selected Concept Note that has strength and potential; it is not intended to supplant Applicant initiative or build new concepts from the ground up.

During this phase, Applicants will work with USAID technical and support office teams to address issues such as environmental concerns, performance indicators, branding and marking requirements, administrative, financial, technical capacity of the applicant, etc.

USAID/DRC envisages that the final product of the Co-Creation phase would be a strong draft program description which will serve as the basis for the full application phase, as well as quantitative and/or qualitative indicators or performance milestones. If USAID decides to continue with the proposed activities following co-creation, USAID will request a Full Application from Applicant(s), inclusive of all modifications, expansions, discussions, etc. resulting from the co-creation phase and will provide a Full Application template for completion.

Communication with USAID during the Concept Note/Co-Creation phase should NOT be interpreted as a commitment to funding or guaranteed request for a Full Application. Any expenses incurred by Applicants during this time are solely the responsibility of the Applicants, unless otherwise stated in writing by USAID.

If an Applicant does not succeed at the Co-Creation phase, the process will end at this stage and the Applicant will be notified accordingly.

Phase 3: Full Application

If an Applicant successfully completes the Co-Creation phase, USAID/DRC will issue a Request for Application (RFA) to the Applicant. The RFA will provide complete instructions for submission of a full application, including a template for submission of the technical and cost application. The full application will detail and expand upon the concept developed and agreed upon through co-creation.

The full application also will require the Applicant to complete specific requirements, such as submission of required certifications, assurances, representations, and other statements of the recipient, standard forms SF-424, Application for Federal Assistance; and SF-424A, Budget

Information – Non-construction Programs; etc. which USAID will need to move forward with the award process.

Foremost, the Applicant will need to demonstrate that it satisfies the applicable eligibility requirements set forth in Section III: Eligibility Information of the NPI:CPRP APS and Section B and C of this Addendum.

Moreover, pursuant to ADS 303, an organization must comply with the following in order to apply:

1. Be registered in the U.S. Government's SAM system (<http://www.sam.gov>) before submitting its application;
2. Provide a valid DUNS number in its application; and
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding Department or Agency.

In addition, USAID must evaluate the risks posed by applicants before making an award in accordance with principles established by USAID and the Office of Management and Budget (OMB) (see 2 CFR 200.205). Therefore, USAID will conduct an examination to inform a Pre-Award Risk Assessment. USAID may commence this assessment while the Co-Creation Phase is on-going.

There are reasons why an Applicant may be unsuccessful at the full application phase. For example:

- The detailed program does not satisfy the criteria and definitions provided in the Concept Note;
- A Resource Partner drops out or does not materialize and the partner no longer meets the partner eligibility criteria in Section I.B. of the Global NPI APS;
- The Applicant cannot provide evidence that it is a legal entity; or
- There are other concerns after conducting due diligence or pre-award surveys.

USAID reserves the right to make no award under this Addendum at any stage of the process.

VI. Merit Review Criteria:

Proposed partnerships will be evaluated based on the merit review criteria set forth below and will be used to evaluate the concept papers and subsequent Full Applications. Please note that only the Concept Papers that met the requirements described in the Stage 1 of the selection process described in this Section will be evaluated. The following review criteria on an adjectival system will be used:

- Excellent
- Very Good
- Satisfactory
- Marginal

The criterion below is presented in descending order of importance. Criteria 1-3 are of equal importance.

Merit Review Element	Definition
1. Degree to which program provides new or improved access to communities, constituencies, or key stakeholders affected by violence via new or underutilized local and/or locally-established partners.	The extent to which the proposed concept uses one or more new or underutilized partners (local or LEPs) to increase access to target communities, constituencies, or key stakeholders (on a scale of 1 - 3; 1) No additional benefit towards the accomplishment of the program's objectives; 2) Some additional benefit toward the accomplishment of the program's objectives; or 3) Significant additional benefit toward the accomplishment of the program's objectives.)
2. Building Partner Country Capabilities and Commitment toward advancing the journey to self-reliance.	The extent to which the proposed Concept Note's proposed forms of engagement increase the likelihood that local and locally established partners or the affected communities themselves, will be able to continue the program's activities and/or maintain its achievements without funding from USAID (on a scale of 1 - 3; 1) No or minimal chance of sustainment; 2) Some chance of sustainment; or 3) Significant chance of sustainment.)

In addition, USAID/DRC will also review:

Merit Review Element	Definition
3. Technical approach	The extent to which the Applicant's technical approach demonstrates a strong understanding of local challenges and opportunities, and feasibility of achieving intended results that contribute to the overall goal of advancing the rights of Indigenous Peoples in the DRC. The extent to which the Applicant's technical approach demonstrates a strong understanding of USAID's policy for engaging, safeguarding, and partnering with Indigenous Peoples.

	The extent to which the Applicant’s technical approach demonstrates a strong understanding of the legal status of the protected areas in their proposed intervention areas and proposes appropriate interventions. The extent to which the Applicant proposes a grievance mechanism, feedback loop, and/or independent monitoring mechanism where concerns of stakeholders are received, and incorporated in the activity as appropriate. The extent to which the Applicant integrates gender in all phases of the proposed activity.
4. Conflict Sensitivity	The extent to which the proposed technical approach clearly articulates how proposed interventions integrate Do No Harm measures into all interventions and mitigate potential conflict while maximizing opportunities to positively impact the context. The extent to which gender considerations are incorporated in conflict-sensitivity.
5. Past Experience and Performance	Extent to which Applicant demonstrates experience engaging with Indigenous Peoples and Local Communities (IPLCs) in and around protected areas, and experience with cross-sectoral programming. USAID will request history of past performance during the full application stage.

Proposed programs should be consistent with USAID policy directives, required procedures, and standards, including those set forth in 2 CFR 200, 2 CFR 700, USAID’s Automated Directives System (ADS), and in the Foreign Assistance Act of 1961, as amended.

SECTION F -- FEDERAL AWARD AND ADMINISTRATION INFORMATION

I. Award Administration

The USAID Agreement Officer (AO) is the only individual who may legally commit the U.S. Government to the expenditure of public funds. USAID will administer awards in accordance with Parts 700 and 200 of Title 2 of the CFR, and ADS 303 Standard Provisions for U.S./non-U.S. organizations.

At the award stage, detailed guidance on reporting requirements will be provided. USAID anticipates requesting the following program and financial reports: monthly updates, quarterly technical progress reports, annual reports, final reports, and quarterly financial reports.

Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed award or a specific, written authorization from the Agreement Officer.

II. Environmental Compliance

The potential environmental impacts and ultimately any resulting award from this Addendum, will be assessed, per guidance according to 22 CFR 216 as part of the Initial Environmental Examination (IEE). In addition, the successful Applicant 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.

III. Additional Information on Award Administration

ADS Chapter 201 Program Cycle Operational Policy:

<https://www.usaid.gov/sites/default/files/documents/1870/201.pdf>

- ADS Chapter 204 Environmental Procedures:

<https://www.usaid.gov/sites/default/files/documents/1865/204.pdf>

- ADS Chapter 205 - Integrating Gender Equality and Female Empowerment in USAID's Program Cycle: <https://www.usaid.gov/sites/default/files/documents/1870/205.pdf>

- ADS Chapter 303 Standard Provisions for Non-U.S. Non-governmental Organizations:

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

- ADS Chapter 303 Standard Provisions for U.S. organizations:

<https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf>

- ADS Chapter 318 Intellectual Property Rights:

<https://www.usaid.gov/sites/default/files/documents/1876/318.pdf>

- ADS Chapter 579 USAID Development Data:

<https://www.usaid.gov/sites/default/files/documents/1868/579.pdf>

- Grant and Contract Process: <https://www.usaid.gov/work-usaid/get-grant-or-contract/grant-and-contract-process>

- USAID Graphic Standards Manual and Partner Co-branding Guide:

https://www.usaid.gov/sites/default/files/documents/1869/USAID_GSM_03_05_2019.pdf

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

Questions regarding this Addendum should be directed to the contacts identified below with the subject line “Questions - APS No. 7200AA19APS00012, Addendum for DRC Activity by not later than the date and time noted in the cover letter of this Addendum to the following point of Contacts:

Charles Pope

Agreement Officer

Email: CPope@usaid.gov

Blanca Ibarra

Acquisition and Assistance Specialist

Email: bibarra@usaid.gov

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the Concept Papers/Applications submitted under this Addendum.

Some awards may incorporate specific requirements that recipients will need to comply within a given timeframe. These specific requirements are normally identified in the awards as “Special Award Conditions”.

Value Added Tax (VAT) information

Potential successful applicants will be provided with specific instructions on how to manage the VAT during the Request for a Full Application.

[END OF ADDENDUM TO APS NO. 7200AA19APS00012, FOR THE DRC ACTIVITY]

Attachment 1: Concept Note Template

[INSERT PROPOSED TITLE OF ACTIVITY] IN THE DEMOCRATIC REPUBLIC OF THE CONGO

CONCEPT NOTE

A. Application Overview *(Please complete the following questions below:)*

1. **Proposed Activity Name/Title:** _____
2. **Explanation of Qualification Under Eligibility/Engagement Listed in Global NPI APS Section I & Section III** *(Please provide as a separate document the completed Attachment 1, Eligibility Certification):*

3. **Proposed Period of Performance** *(i.e., start date and end date):*

4. **Total Program Amount** *(in USDs):*

5. **Total Amount of Funding Requested from USAID and total amount leveraged** *(if applicable), including from what source(s):*

6. **Applicant Organization Name:** _____
7. **Applicant Contact Person** *(name, phone, e-mail):*

8. **Full Address for Applicant Organization:** _____
9. **Type of Organization** *(e.g., US, non-US, multilateral, private, for-profit, non-profit) date of incorporation, etc.):*

10. **(If Applicable) Name(s) of Partner(s) Organization(s)** *(Applicants that are applying as Mentors will name Subpartners here;):* _____

B. Concept Introduction: (approximately ½ page). Identify the problem you will address, linking it to one or more of the Addenda focus areas and briefly describe your intervention for tackling this problem. Describe why there is a strategic need for your concept, how it differs from alternatives, and any relevant partner-specific considerations for the problem or solution. Explain how the program advances the country's Journey to Self-Reliance.

C. Beneficiaries: (approximately ½ page). Describe the types of benefits the intervention will produce and the types and range of people who will benefit from this intervention. Was the concept designed with end user input? Has it or can it be adapted to reach women and men, indigenous people, and youth? How can the concept be scaled up to reach more people.

D. Geographic Location: (approximately ½-page). In what location(s) (e.g, Province, city) are you proposing to operate under this proposed partnership? Describe key elements of and

actors in the geographic location(s) in which you propose to work. What are the biggest challenges and opportunities? Please provide a brief description of previous work experience in this geographic location.

E. Intervention approach: (approximately one [1] page) Building on the introduction, propose a Theory of Change for how this intervention will produce the desired impact in the focus area(s) identified. Briefly describe critical barrier(s) or problem(s), related to your focus area(s) that your concept addresses. Be sure to include information describing why the approach is creative or innovative, how it is potentially scalable, and evidence to support it as a tested solution or as an intervention likely to have a significant development impact, and how it will be sustained. Include discussion of resiliency of this idea to conflict, the potential for this idea to create and/or resolve conflicts and how the idea and partners can adapt to these circumstances. Include how gender will be considered and integrated in all phases of the proposed program including in conflict-sensitivity and Do No Harm measures.

F. Intervention results: (approximately one [1] page) As specifically as possible, describe the anticipated outputs, outcomes, results and/or impact of the proposed intervention. What are the key, quantifiable metrics related to your project's performance or expected performance? What is the scale needed to achieve results sufficient to address the problem? What are the baselines that you will measure before the project begins?

G. (If applicable) Partner roles: (approximately ½ page) Describe and define the role of other entities in the partnership. This must include a description of the leveraged funding, if necessary, or sub-partners if submitting a mentorship program proposal. It must describe how this meets the criteria for outline in Section I.B of this Program Statement).

H. Applicant capacity: (approximately ½ page). Describe organizational capacity – technical, managerial, financial, etc. – to carry out the proposed intervention. What is the business model for your innovation? Have you worked in this sector and/or geographic area?

Signature of individual with authority to legally bind your organization.

Attachment 2:

ELIGIBILITY CERTIFICATION FORM

Please check the appropriate box to certify eligibility for the type of partner that applies:

- ☐ *(For Partners Applying as New/Underutilized Local Partner) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization has not received more than \$25 million in direct or indirect funding from USG over the last five (5) years.*
- ☐ *(For Partners Applying as New/Underutilized Locally Established Partners) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization has not received more than \$25 million in direct or indirect funding from USG over the last five (5) years and can demonstrate non-federal funding equal to or greater than the award value of this proposal.*
- ☐ *(For Partners Applying for a Limited Mentorship Award) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization will use Modality 3a or Modality 3b to provide sub-awards.*
- ☐ *(For Partners Applying as Leverage) We certify that, in line with the criteria enumerated in Section III, Sub-Section A, our organization can demonstrate 50% of award value of this proposal using non-federal funds.*