



**Funding Opportunity Title:**

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|-----------------------------------------------------------|---------------------------------------------------|
| Announcement Type:                                        | Request for Applications (RFA)                    |
| Funding Opportunity Number:                               | RFA-386-14-000002                                 |
| Issuance Date:                                            | February 7, 2014                                  |
| Authorized Geographic Code:                               | 937                                               |
| Catalog of Federal Domestic Number (CFDA):                | 98.001                                            |
| Deadline for submission of Questions:<br>(Electronically) | February 19, 2014 at 4:00 pm New Delhi local time |
| Pre-application meeting:                                  | February 21, 2104 (Time and location: TBD)        |
| Deadline for submission of Applications:                  | March 13, 2014 at 4:00 pm New Delhi local time    |

**To Interested Applicants:**

USAID/India is inviting local Indian organizations (see definition of local organization under Section A – Applicant Eligibility) to apply for the Innovations for Forest Resources Management (InFoRM) Program. InFoRM seeks to target innovative solutions to address forestry concerns in India under the three priority areas of (1) supporting innovations for fuel wood management; (2) strengthening systems for forest resources management; and (3) increasing income of forest dependent communities.

Subject to the availability of funds, USAID/India plans to make award(s) ranging from U.S. \$200,000 to U.S. \$4 million for a period of one to four years. Applicants may submit an application aimed at achieving results under one or more of the three priority areas of InFoRM (see Section C – Program Description of the RFA). USAID reserves the right to fund any, a portion of, or none of the applications submitted.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost standards may be paid under the award.

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

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

The preferred method of distribution of this RFA is via internet. This RFA and any future amendments can be downloaded from [www.grants.gov](http://www.grants.gov).

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

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section C - Program Description;
- (d) This Cover Letter.

The issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final awards cannot be made until funds have been appropriated, allocated, and committed through internal USAID procedures. Potential applicants are hereby notified that all awards are subject to the availability of funds and agreement of the parties, and USAID reserves the right to make no awards. All preparation and submission costs incurred are at the Applicant's expense. This RFA may be amended by USAID/India as necessary (e.g., to revise deadlines or update information).

**Point of Contact and submission instructions**

Complete applications should be submitted via e-mail to [aseong@usaid.gov](mailto:aseong@usaid.gov). Also refer to the complete submission instructions in Section A.

Sincerely,

*ps/-*

Paul Aiyong Seong

Agreement Officer

Regional Office of Acquisition and Assistance

USAID/India

## SECTION A - GRANT APPLICATION FORMAT

### I. PREPARATION GUIDELINES

Local Indian organizations are eligible to submit applications. Applicants may form partnerships with other academic institutions, private sector entities, or NGOs in submitting applications.

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if: (a) USAID's treatment of the material is consistent with the terms of the RFA, (b) all late applications are treated the same, (c) they are evaluated before any agreements are awarded under the RFA and (d) the Agreement Officer consents in writing to the review of late or incomplete applications.
- c. A lengthy application does not in and of itself constitute a well thought out application. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the email addresses set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on [www.grants.gov](http://www.grants.gov). **The deadline for receipt of questions is February 19, 2014 4:00 PM, local New Delhi time.** Oral explanations or instructions given before award will not be binding. Any information given to a prospective grantee concerning this RFA will also be furnished to all other prospective grantees as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.
- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.
- f. Submission of Applications Electronically (**Important**):
  1. Preferred software for electronic submissions: Microsoft Word (for narrative text) or Excel (for tables). PDF files are acceptable. Please be advised that the selected applicant will be requested to submit their budget breakdown in Excel.
  2. After you have sent your applications electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the

email or make note in the filename if submitted via grants.gov that it is a "corrected" submission. Each applicant is responsible for their submissions.

3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email.
4. Your organization shall appoint one person to send in the email submissions who will serve as the contact person for future communications regarding this RFA.
5. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application be submitted as single email attachments, e.g., that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling submitted electronic applications if no instructions are provided or if instructions are unclear.

g. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so may be considered as being non-responsive and may be evaluated accordingly.
2. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes shall:

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

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

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

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

## II. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goal and purpose of this program. Therefore, it should be specific, complete and concise.

Applications will be evaluated based upon both the level of achievement proposed and the realism of the plan for reaching that level of achievement. Post-award recipient performance will be evaluated against the standards proposed by the Applicant and accepted by the USAID; so well-documented realism in the statement of these program objectives is essential. It is recommended that an applicant carefully review the selection/evaluation criteria outlined in Section B of the RFA and organize its applications accordingly.

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

The Technical Application must be in English. The Technical Application (excluding annexes) must not exceed **20** single-spaced typed pages (12 point Times New Roman Font and a minimum of 1 inch margins all around). Pages (except for the cover page) should be paginated at the bottom.

Technical applications must consist of the following:

- Table of Contents
- Executive Summary
- I. Technical Approach
- II. Key Personnel
- III. Management Plan
- IV. Past Performance
- Annexes
  - 1. Resumes for Key Personnel (including proposed position description) and signed letters of commitment from the Key Personnel
  - 2. Signed letter of commitment from the proposed consortium partner(s) (if applicable)
  - 3. Signed letter of commitment from the proposed private-sector partner(s) (if applicable)

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated.

Applicants are encouraged to propose a name for its proposed program that captures the essence of the program.

## **1. Technical Approach**

The application must demonstrate an in-depth understanding of the forestry sector in India and a comprehensive knowledge of the past interventions in the sector and the reasons for their success/failure. Building upon that understanding and knowledge, the applicant must demonstrate how its proposed program is innovative and should articulate how its proposed program will achieve results under the priority area(s). This should include the purpose, output(s) and input(s). The applicant must propose rigorous methodologies for achieving the proposed outputs.

The application should adequately justify the target area where the program activities would be focused and describe a plan that will enable the activities to continue after the program is completed.

The application must provide a Program Implementation Plan for the entire duration of the Program that describes achievement of expected program results. Key milestones should be clearly articulated, with specific deliverables and expected dates defined. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an ambitious but realistic schedule of performance milestones as steps toward achieving proposed results. The Program Implementation Plan should clearly outline links between the proposed results, conceptual approach, and performance milestones.

The application must provide a Monitoring and Evaluation Plan that proposes annual and end-of-program indicators and targets to measure the progress of the activities and the achievement of results. The plan shall also describe the monitoring system that will enable it to track these indicators regularly. The applicant should provide estimated targets by indicator for the program. Final targets will be negotiated with USAID/India annually during work plan development.

USAID/India encourages the development of public-private partnerships to leverage resources under the award(s). Applicants are encouraged to include in their applications comprehensive approaches and methods for significant private sector engagement, with a focus on innovative and practical approaches to use such resources, and highlight the usefulness, innovativeness and likelihood that partnerships would contribute to program sustainability beyond the performance period and funding received from USAID. Applicants that include a private sector partner and leverage in their application will be given preference.<sup>1</sup> Signed letter of commitment from proposed private sector partner(s) are encouraged.

## **2. Key Personnel**

The applicant shall propose Key Personnel as deemed appropriate to accomplish program goal and purpose as described in Section C (2) Program Description. The applicant must propose Key Personnel positions (not to exceed four), including the Chief of Party. Key personnel will be assessed on the appropriateness of their academic background, expertise and years of experience working on project activities similar to their designated duties and responsibilities for this program. Applicants must clearly specify the qualifications and abilities of proposed key personnel relevant to successful implementation of the proposed technical approach.

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<sup>1</sup> USAID/India also recognizes that some activities may achieve their goals without necessarily engaging the private sector.

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

- A minimum of ten years of professional experience in fields related to the successful implementation of this program.
- A graduate degree (Master's Degree or higher preferred) in a similarly-related field of study.
- Proven exceptional leadership in the design, management, implementation, monitoring, and evaluation of similar-size international donor support programs with skills in strategic planning, management, supervision, and budgeting, and preferably experience in managing complex activities involving coordination with multiple program partner institutions.
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams.
- Strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the program and to effectively coordinate with a range of stakeholders.
- Knowledge of USAID policies and procedures as related to program management.

### **3. Management Plan**

The Management Plan shall describe the technical resources and expertise that the applicant will utilize in implementing the proposed program. The management plan must specify the composition and organizational structure of the program team (including field office(s), as appropriate) and briefly describe each proposed staff member's role, technical expertise, and the estimated amount of time s/he will be devoted to the program. The application must also briefly describe the experience and role of any consortium organization, the comparative advantage of the consortium in implementing the proposed program, and the approach for managing the proposed sub-recipient(s). The applicant must explain the placement of the program team within the organizations and should demonstrate a clear chain of authority and line of communication within the program team, including consortium organization, if any. The applicant must also demonstrate their capability in administrative and financial management of programs.

### **4. Past Performance**

The applicants must include up to five (5) most recent and relevant Government and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization involving activities similar to the activities proposed in your application. Each applicant must provide past performance references for itself and each proposed sub-applicant. The past performance evaluation will focus on the applicant's record of complying with agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment and concern for the interest of the customer, and the competency of personnel who worked on the agreement.

Include the following for each award listed:

- Name of awarding organization or agency
- Address of awarding organization or agency
- Place of performance of services or program
- Award number
- Amount of award
- Term of award (start and end dates of program)
- Name, current telephone number, current fax number and e-mail address of a responsible technical representative of that organization or agency
- Brief description of the program

The applicants must also include up to three (3) most recent and relevant Government and/or privately funded contracts, grants, cooperative agreements, etc. received by each major sub-recipient proposed. A major sub-recipient is one whose proposed cost exceeds 25% of the Applicant's total proposed cost. Include the same information as listed above.

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

## **5. Annexes**

### **i. Resumes for Key Personnel (including proposed position description) and signed letters of commitment from the Key Personnel**

Resumes shall be no more than three (3) pages in length for each proposed individual and shall be presented in chronological order starting with most recent experience. Each shall be accompanied by a signed letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. Each resume shall include a minimum of three references. References may be checked for all key personnel, and applicants shall provide current phone, fax, and email address for each reference contact.

### **ii. Signed letter of commitment from the proposed consortium partner(s) (if applicable)**

### **iii. Signed letter of commitment from the proposed private-sector partner(s) (if applicable)**

## **6. Substantial Involvement**

USAID/India considers collaboration with the recipient crucial for the successful implementation of this program. Depending on the applications that are received and selected, USAID may decide to be "substantially involved" in the implementation of the program, and therefore award a cooperative agreement instead of a grant. In cooperative agreement(s), USAID may be substantially involved in one or more of the following areas:

1. USAID review and approval of Program Implementation Plan and Annual Work Plans (limited to not more frequently than annually);
2. USAID approval of specified key personnel;
3. USAID approval of the recipient's monitoring and evaluation plan;
4. USAID authority to immediately halt a construction activity, if applicable.

## **7. Sub-recipient**

Organizations may not possess all the skills required to achieve all the results identified in this RFA. Organizations are urged to enter into strategic consortium with other non-profit and/or for-profit organizations as sub-recipient to supplement skills. However, one organization shall be designated to serve as the prime organization and will be responsible for the achievement of results and the implementation of the program. If the applicant plans to collaborate with other organizations for the implementation of the core component of this award, the services to be provided by each organization shall be described. Applicants that intend to utilize sub-recipient shall indicate the tasks/functions the sub-recipient will be performing. Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship. The applicant must specify the technical resources and expertise of proposed organizations. A signed letter of commitment from the proposed partner must be submitted.

## **8. 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) Parts 201.5.10g and 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. The applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.
- 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) As part of its Program Implementation Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

- 5) 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.
- 6) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

## **9. Applicant Eligibility**

USAID encourages applicants from local Indian organizations that are private, non-profit organizations (or for-profit companies willing to forego profit from this program), including private voluntary organizations, universities, research organizations, professional associations, and relevant special interest associations. The definition of a local organization is provided below:

1. A “local organization” must,
  - a. Be organized under the laws of the recipient country;
  - b. Have its principal place of business in the recipient country;
  - c. Be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
  - d. Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.
2. The term “controlled by” means a majority ownership or beneficiary interest as defined above, or 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, e.g., ownership, contract, or operation of law.
3. “Foreign entity” means an organization that fails to meet any part of the “local organization” definition.

Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are included in the above definition of local organization.

USAID will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law.

## **10. Foreign Contribution Regulation Act (FCRA)**

For a charitable group in India to receive funds under a grant mechanism from an overseas source, the government of India requires that the charitable group has registration that complies with the Foreign Contribution Regulation Act (FCRA). USAID India will not be able to disburse funds to an organization without a valid FCRA.

### III. COST APPLICATION FORMAT

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

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

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

SF-424: [http://apply07.grants.gov/apply/forms/sample/SF424\\_Mandatory\\_1\\_2-V1.2.pdf](http://apply07.grants.gov/apply/forms/sample/SF424_Mandatory_1_2-V1.2.pdf)

SF-424A: <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>

SF-424B: [http://apply07.grants.gov/apply/forms/sample/Mandatory\\_SF424B-V1.1.pdf](http://apply07.grants.gov/apply/forms/sample/Mandatory_SF424B-V1.1.pdf)

Regarding the budget, USAID requires:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
2. The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program;
3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement;
5. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement; and
6. The procurement plan for commodities.
7. Other instructions for preparation of proposed budgets:
  - (a) Indicate the name, annual salary, and expected level of effort of each person charged to the program. Provide resumes showing work experience and annual salary history for at least the three most recent years for major personnel.
  - (b) If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.
  - (c) The same individual information for consultants shall be provided as for regular personnel.

- (d) Allowances shall be broken down by specific type and by person, and must be in accordance with the applicant's policies.
- (e) Travel, per diem and other transportation expenses shall be detailed in your application to include number of international trips, expected itineraries, number of per diem days and per diem rates.
- (f) Specify all equipment to be purchased and the expected geographic source.
- (g) Financial Plans for all proposed sub-grants and sub-contracts shall have the same format and level of detail as those of the applicant. Following the applicant's detailed budget breakdown, detailed budget breakdowns for each sub-recipients/(sub) contractor shall be presented. Sub-recipient/(sub) contractor budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/(sub) contract. Detailed budget notes which explain how the subs' proposed budget was reviewed and how a determination was made that it is fair and reasonable shall be provided.
- (h) Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs shall be separate cost line items.

**B.** In addition, each applicant must provide an activity-based budget, mapped to the proposed Priority Area(s). An illustrative sample is given below. This will enable an aggregate cost for the identified purpose and sub-purpose. Please note that the number of rows and the number of years in the table below is illustrative only, and do not necessarily reflect USAID's expectations regarding the identity and/or number of inputs that may be appropriate.

| Activity Description        | Year 1 | Year 2 | ...Year N | Total |
|-----------------------------|--------|--------|-----------|-------|
| 001                         |        |        |           |       |
| 002                         |        |        |           |       |
| ...                         |        |        |           |       |
| 00N                         |        |        |           |       |
| <b>Total Estimated Cost</b> |        |        |           |       |

**Required certifications and representations (as attached below):**

**C. Cost Share**

Cost share is defined by USAID as, "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please take note of the provision on cost sharing in 22 CFR 226.23.<sup>2</sup>

Cost sharing is an important element of USAID-recipient relationships, and helps demonstrate that Recipients are committed to Program success. The minimum cost share requirement under this RFA is equivalent to 20% of the total award. The applicant's cost share is in addition to any leveraged resources through proposed public-private partnership(s), and will be viewed favorably in assessing applications.

<sup>2</sup> For Code of Federal Regulations (CFR) referenced in the Automated Directives System (ADS), please see <http://www.usaid.gov/who-we-are/agency-policy/external-reference-links/cfr>

Cost share will be evaluated as part of the cost effectiveness of the application. For more information on cost share including how a partner will be expected to meet cost share requirements, please review ADS 303.3.10.<sup>3</sup>

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

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

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

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

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

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

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<sup>3</sup> The Automated Directives System (ADS) contains the organization and functions of USAID, along with the policies and procedures that guide the Agency's programs and operations. For more information, please see, <http://www.usaid.gov/who-we-are/agency-policy>.

## SECTION B - SELECTION CRITERIA

Technical applications will be evaluated according to the criteria below, while budgets will be evaluated for general reasonableness, allowability, and allocability. Applicants should structure/organize their applications according to the following evaluation criteria to ensure that they are clearly addressed.

- I. **Technical Approach [40 points].** The technical approach will be evaluated according to potential merit in achieving tangible and sustainable results. Most importantly, applications will be scored according to how convincingly they propose ways to advance innovative technologies, processes, and practices in forest resources management that would improve the lives of low-income, forest-dependent communities. Other considerations that will be evaluated positively include proposing: public-private partnerships; plans to demonstrate, measure, and monitor results; strong justifications for the proposed geographic area of intervention; how potential risks to implementation would be mitigated; the promotion of gender equality; and sustainability.
- II. **Key Personnel [30 points].** Key personnel will be evaluated based on the suitability of backgrounds, technical skills, and managerial abilities needed to successfully implement the program.
- III. **Management Plan [15 points].** The management plan will be evaluated according to the relevance of the overall organizational and management structure to achieve the program's goal and purpose; potential of the team to provide technical leadership, as well as coordinate and communicate with relevant stakeholders; and the team's capability in administrative and financial management of programs.
- IV. **Past Performance [15 points].** Applications will be evaluated according to evidence that the sponsoring organizations have previous, relevant and successful experience:<sup>4</sup>

**TOTAL: 100 points**

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<sup>4</sup> The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will neither be evaluated favorably nor unfavorably on past performance. The neutral rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.

## **SECTION C - PROGRAM DESCRIPTION**

### **1. Program Overview**

The U.S. Agency for International Development (USAID) Mission in India seeks to improve the lives of people who live at the base of the economic pyramid (BOP) in India by supporting innovations at the interface of climate change, forest degradation and forest-dependent communities.

USAID/India, in line with the objectives of the United States Government's Global Climate Change Initiative (GCCII), is soliciting applications for programs targeting innovative solutions to address forestry concerns in India under the "Innovations for Forest Resources Management (InFoRM)" Program. Subject to the availability of funds, the total estimated budget for the Program is approximately U.S. \$4 million.

Under this Request for Applications (RFA), USAID/India plans to make award(s) ranging from U.S. \$200,000 to U.S. \$4 million for a period of one to four years. Applicants may submit an application aimed at achieving results under one or more of the three priority areas of InFoRM: (1) supporting innovations for fuel wood management; (2) strengthening systems for forest resources management; and (3) increasing income of forest dependent communities.

#### **1.1. Background**

Climate change is one of the world's greatest challenges, impacting communities, landscapes and markets around the world. USAID, as part of the broader Presidential GCCII, is addressing challenges related to climate change through climate adaptation and mitigation (clean energy and sustainable landscapes) programs. Preventing forest degradation is a cost-effective way to mitigate climate change by reducing greenhouse gas emissions and increasing sequestration in living trees and plants. Forest degradation is a pressing problem in India and is largely caused by pressures on forests arising due to population increases and the concomitant increase in demands on forest resources.

India is the seventh largest country in the world with a total land area of 3.28 million square kilometers – 23% of which is forested. The forests and trees outside forests in India support rich biodiversity, provide a wide array of goods and ecosystem services, and support millions of forest-dependent people. Forest products contribute 20-40% of total household income in forested areas, with poorer households being more dependent on forest resources such as fuel wood and other non-timber forest products (NTFPs).<sup>5</sup>

Although the overall forest cover in India has remained stable over the past twenty years, approximately 40% of the forests have been and continue to be degraded by unsustainable extraction and population pressures. Forest degradation adversely impacts water resources, agriculture, biodiversity, environment, climate change and human health. More specifically, forest degradation leads to the loss of biodiversity, increases the likelihood of emerging pandemic threats, increases carbon dioxide (CO<sub>2</sub>) emissions, and decreases carbon sequestration. Reducing forest degradation will have positive multiplier effects on peoples' livelihoods and health, as well as on the environment.

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<sup>5</sup> NTFPs encompass all biological material other than timber, which is extracted from forests for human use.

The most important causes of forest degradation in India center on the substantial gap between supply and demand for forest products. These forests products include timber as well as non-timber forest products (NTFPs) such as fuel wood, fodder, medicinal plants, fruits, and spices. For example, of the estimated 216 million tons of fuel wood used every year in India, 59 million tons are sourced from forests. In addition, a large proportion of livestock depend on forests for fodder which adversely impacts the stock and regeneration capacity due to over-grazing and lopping and trampling of young saplings. While a comprehensive country-wide assessment of NTFPs does not exist, forestry experts generally agree that extraction of various NTFPs is one of the leading causes of forest degradation. Unsustainable extraction of forest products contributes to forest degradation, which in turn reduces the potential of the forest to meet the demand for products and services - such as carbon sequestration.

## **1.2.USAID/India's engagement in the forestry sector in India**

In the 1980s and early 1990s, USAID was heavily engaged in India's forestry sector - supporting social forestry projects in Madhya Pradesh, Maharashtra, Gujarat, Rajasthan, Himachal Pradesh, and Uttar Pradesh. This engagement aligned with the recommendation of the Government of India's (GOI) National Commission on Agriculture (1976) that India's strategy on forestry development should focus on developing large-scale social forestry programs outside the legal forest reserves to meet the growing needs of rural population for forest products. The social forestry projects were aimed at increasing the production and supply of fuel wood, fodder, fruits, and small timber; increasing rural income and employment, particularly opportunities for the poor and landless; afforestation of degraded areas and wasteland and reducing soil erosion; and strengthening forestry institutions. The total value of USAID's investment in India's forestry sector was around U.S. \$95 million during this period.

In September 2010, USAID and the GOI's Ministry of Environment and Forests (MoEF) signed a five-year partnership agreement to promote scientific and technical collaboration and exchange on forestry. Under this agreement, USAID/India is currently supporting three forestry programs.

First, the **Partnership for Land Use Science (Forest-PLUS)** program aims to help accelerate India's transition to a low carbon economy by taking REDD+<sup>6</sup> actions to scale. The Forest-PLUS contract was awarded in July 2012 to the U.S. consulting firm Tetra Tech ARD. Working in close collaboration with the MoEF, Forest-PLUS is helping strengthen the capacity for REDD+ implementation in India. Forest-PLUS is being implemented in the Indian states of Himachal Pradesh, Sikkim, Madhya Pradesh, and Karnataka. Over a period of five years, Forest-PLUS will:

- develop and deploy scientific tools and methods for improved ecosystem management and carbon sequestration, forest carbon inventory, and reference baselines;
- design modalities/programs to provide better incentives to forest dependent communities to promote REDD+ activities; and
- enhance human and institutional capacity.

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<sup>6</sup> REDD+ (Reducing Emissions from Deforestation and forest Degradation) is a global initiative to create an incentive for developing countries to protect, better manage and save their forest resources, thus contributing to the global fight against climate change.

Second, USAID also has in place an **interagency agreement with the U.S. Forest Service (USFS)**, which builds upon and supports scientific and technical collaboration and exchange. Specifically, USAID and USFS are supporting peer-to-peer collaboration between Indian and U.S. foresters. The agreement has thus far provided technical assistance to the GoI which has consisted of: trainings on remote sensing to map/estimate forest cover and burn severity; trainings on carbon estimation, forest inventory and monitoring; a workshop on developing reference baselines and scenarios for REDD+; assessment of institutional capacities and national framework for implementing REDD+ in India; and a short course on forecasting and futures modeling.

Third, **Partnerships for Enhanced Engagement in Research (PEER) Science** is a partnership between USAID and the National Science Foundation (NSF) designed to address development challenges through international research collaboration. This competitive grants program will allow scientists in developing countries to apply for funds to support research and capacity-building activities in partnership with NSF-funded collaborators on topics of importance to USAID. USAID/India, under the PEER Science program, aims to support applied research projects led by Indian researchers that focus on forestry and climate change issues in India. Research areas include, though are not limited to, forecasting the vulnerability of forests to changes in climate; modeling the mitigation potential of forest ecosystems; and improving the valuation of forest ecosystems.

### **1.3.Relationship of InFoRM to U.S. and Indian Policies and Strategies**

InFoRM will contribute to the sustainable landscapes pillar of the Global Climate Change Initiative (GCCII) - one of three main initiatives to support the 2010 U.S. Presidential Policy Directive on Global Development, which also includes the Global Health Initiative and Global Food Security Initiative.<sup>7</sup>

InFoRM directly contributes to USAID's 2012-2016 Climate Change and Development Strategy goal to enable countries to accelerate their transition to climate-resilient low emission sustainable economic development.<sup>8</sup> One of the three strategic objectives seeks to accelerate the transition to low emission development through investments in clean energy and sustainable landscapes. The degradation of forested landscapes not only leads to CO<sub>2</sub> emissions, it also reduces carbon sequestration potential. Therefore, reducing the degradation of forests will reduce emissions and increase carbon sequestration.

InFoRM also supports the goals of the National Mission for a Green India (GIM) under India's National Action Plan on Climate Change (NAPCC) that, "... acknowledges the influences that the forestry sector has on environmental amelioration through climate mitigation, food security, water security, biodiversity conservation and livelihood security of forest dependent communities." GIM seeks to enhance ecosystem services such as carbon sequestration and storage in forests and other ecosystems, hydrological services and biodiversity, as well as other provisioning services such as fuel wood, fodder, and other NTFPs.

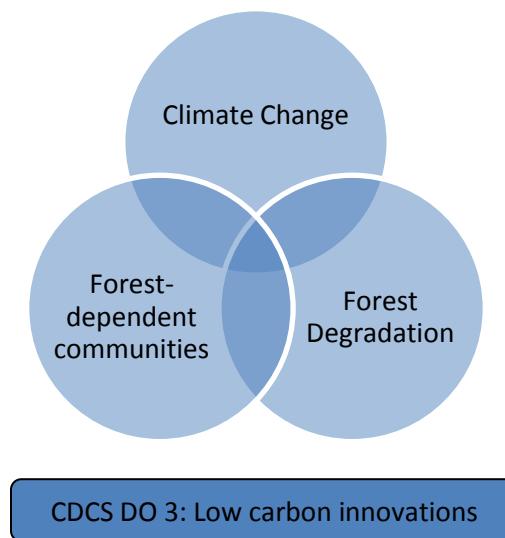
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<sup>7</sup> For more information on Presidential Policy Directive on Global Development, see <http://www.whitehouse.gov/the-press-office/2010/09/22/fact-sheet-us-global-development-policy>

<sup>8</sup> For more information on USAID's Climate Strategy, see <http://www.usaid.gov/climate/strategy>

USAID/India's Country Development Cooperation Strategy (CDCS) for 2012-2016<sup>9</sup> aims to address the primary needs of base of the pyramid (BOP) populations in India, where approximately 800 million people live on less than \$2 per day<sup>10</sup>. Of the BOP populations, an estimated 275 million Indians live in rural areas and are dependent on forests for at least part of their livelihood. USAID's Clean Energy and Environment Office aims to improve the livelihoods of those at the BOP through multiple interventions that reduce forest degradation.

USAID/India proposes to promote climate change mitigation in the forestry sector through InFoRM, and support cutting-edge innovations (products and processes) and practices in forest resources management where climate change, forest degradation and low-income, forest-dependent communities overlap. This approach will contribute to achieving the CDCS's Development Objective (DO) 3, "Development innovations impact people's lives at the base of the pyramid (BOP) in a range of sectors in India." Under DO 3, the approach supports Intermediate Result (IR) 3.2, "Low carbon innovations tested and scaled." In addition, interventions will also contribute to DO 2, "Accelerate India's transition to a low emissions economy." Under DO 2, the approach supports IR 2.1, "Reduce emissions and enhance sequestration through landscapes." (Please refer to the CDCS to learn more about the Results Framework and the Development Objectives.)



#### 1.4. Geographic Target Area

InFoRM will focus on areas in India where forests play an important role in the lives of forest-dependent communities and where degradation of forest is of concern.

<sup>9</sup> For more information on USAID/India's Country Development Cooperation Strategy (CDCS) for 2012-2016, see <http://www.usaid.gov/india/cdcs>

<sup>10</sup> In terms of purchasing power parity.

## 2. Program Framework

To have an impact on climate change mitigation and on the lives of BOP populations in rural areas whose lives are intricately linked with natural resources requires innovations that not only sustain the natural resource base but also promote the livelihoods of BOP populations. In the case of the 275 million people living in rural areas who are dependent on forest resources, this translates into innovations that help improve the forests as well as increase forest-dependent people's income from forest and non-forest resources. Improving forest conditions will help mitigate climate change by reducing the emissions and/or increasing sequestration from forests.

### 2.1. Priority Areas under InFoRM

Priority areas under InFoRM that will help mitigate climate change and simultaneously improve people's lives at the BOP include:<sup>11</sup>

- 1) **Supporting innovations for fuel wood management.** Innovations could improve forest conditions by reducing demand for fuel wood and/or increasing the supply of fuel wood from areas outside of forests. Reducing the demand of fuel wood could be attained by increasing the efficiency of fuel wood usage and/or increasing the usage of alternative technologies.
- 2) **Strengthening systems for forest resources management.** Forest management can be strengthened by adopting methodologies based on sustainable harvest levels. This would ensure that harvests do not impinge on the long-term availability of forest resources, such as fuel wood, fodder and other NTFPs that form the basis of sustenance and livelihoods of forest-dependent communities. Co-management of forest resources by communities and forest departments provides opportunities to address forest resource security and livelihood security of forest-dependent communities. India has policies and legislation that emphasize the role of communities and forest departments in managing forest resources. Improving co-management of forest resources would increase adoption and implementation of sustainable forest resource management practices.
- 3) **Increasing income of forest dependent communities.** The well-being of forests is inextricably linked to the well-being of the forest-dependent communities. In many instances, communities are disproportionately dependent on NTFPs for sustenance and livelihood. They are the primary collectors of NTFPs but they receive very low returns on their harvest compared to the value of the processed NTFPs. Focusing on increasing the value generated by the harvest through means other than simply pricing raw materials would help increase the income of the forest-dependent communities. Innovations that enhance the efficiency of supply chains that allow NTFP collectors to realize more from the same resources by adding value in the supply chain would help increase incomes of NTFP collectors. In addition, providing forest-dependent communities livelihood opportunities that are not based on forest resources would also help increase incomes while reducing the harvest of forest products.

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<sup>11</sup> The logical framework is provided in the annexure to this section.

While the focus of InFoRM remains on climate change mitigation, USAID/India recognizes that activities will generate numerous co-benefits – including biodiversity conservation, cleaner air, as well as water and health benefits. Thus, applications should articulate how their proposed program will result in biodiversity conservation and climate change adaptation benefits.

Additional causes of deforestation and forest degradation in India – such as impact from historic clearing of land for agriculture to impact today from infrastructure development – are beyond the scope of InFoRM. Also out of scope of InFoRM is the supply side management of forest products – such as raising plantations.

## **2.2.Sustainability**

While InFoRM will be undertaken in forest landscapes at the state/local levels, its outputs will provide input to the Government of India’s “National Mission for a Green India”. This Mission aims to improve the quality of forest cover on five million hectares, increase forest-based livelihood income for three million forest dependent households, and enhance annual CO<sub>2</sub> sequestration of 50-60 million tonnes by the year 2020. InFoRM outputs can also facilitate the implementation of the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006. This Act recognizes three types of rights: land rights, use rights and the right to protect and conserve. This law also gives the community the right to protect and manage forests. It provides a right and a power to conserve community forest resources.

In addition to the Government of India’s Ministry of Environment and Forests, engagement with other relevant ministries such as the Ministry of Tribal Affairs, Ministry of Rural Development, and the Ministry of New & Renewable Energy will maximize benefits from InFoRM, minimize duplication of efforts, and ensure outputs are readily transferable to inform policy. Sustaining the impact of innovations in and beyond the activity landscapes will require engagement and support from government counterparts at appropriate levels, including the State Forest Department and Panchayati Raj Institutions.<sup>12</sup>

Early engagement with the private sector with respect to their businesses and/or Corporate Social Responsibility (CSR) interests will help turn up mutually-beneficial activities that can be undertaken within InFoRM and/or allow for expanded program implementation. While private sector participation in core forestry activities in forest land is highly restricted under the present policy stalemate, the private sector can participate by supporting innovative technologies and processes that help in the rehabilitation of degraded forests.<sup>13</sup> In the context of InFoRM, these technologies can help increase the efficiency of fuel wood usage and alternative technologies that are energy and CO<sub>2</sub> efficient, while also enhancing the efficiency of supply chains for forest products, and developing full value chains - including innovative business models.

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<sup>12</sup> Panchayati Raj Institutions (PRIs) are tiers of self-governance established for rural areas. It has 3 levels: village, block and district.

<sup>13</sup> The wood-based industry had been lobbying for several years to get degraded forest land on lease for raising captive plantations. This was vehemently opposed by some NGOs and environmental action groups.

The process of engagement with the Government, research organizations and the private sector under this activity will help inform similar processes in other states in India, with the aim of strengthening systems for forest resources management and, thereby, helping to address the issue of forest degradation as well as the livelihood of forest-dependent communities.

### **2.3. Gender**

In forest dependent communities, women and men are responsible for collecting and managing forest resources in distinct and different ways. In general, women are primary collectors of forest resources (food, fodder, fuel wood, medicine, and other non-timber forest products) to meet daily needs. Women and men have different degrees of control over energy resources and decisions. In spite of the fact that women are closely involved with collecting and processing fuel resources, they rarely have control over their production or use besides for cooking. This lack of control is one of the conditions that makes women especially vulnerable to environmental degradation and other adverse impacts including agricultural production, health, education, and political participation.

The burden of customary energy use falls disproportionately on women who spend an average of 1-5 hours per day on fuel collection in fuel-scarce areas, and who are responsible for collecting 28% of all energy consumed in India. Women tend to be disadvantaged by the opportunity costs imposed by traditional domestic obligations for cooking, washing (i.e. heating water), and food processing. This leaves less time to pursue educational and income generating opportunities.

Investments in gender equality can positively impact women's and men's livelihoods, health, and education, as well as improve stewardship and management of energy and natural resources such as forests. Investments in cutting-edge innovations and practices in forest resources management will need to be women-friendly, and help them improve their own lives and those of their families. How men and women access and benefit from new innovations needs to be considered and documented.

An effective Program will work to close gender gaps in India's forestry sector. For example, programs must work to ensure that women are meaningfully able to participate in decision-making processes. Beyond participation in decision-making, programs must work to ensure equal awareness of the rights afforded men and women under current legislation. Enhancing women's access to forest-related markets and revenues via access to financial services and technical assistance is essential.

Addressing gender considerations should be included throughout all aspects of InFoRM. This includes monitoring and evaluation that will disaggregate data by gender and age, and address differing impacts on women, children and other vulnerable groups.

## 2.4. Illustrative Performance Indicators

The following illustrative indicators are either custom developed for this Program or have been derived from the list of indicators established under USAID's Foreign Assistance (F) Framework.<sup>14</sup> Under the Foreign Assistance Framework, the Program Area for reporting results under InFoRM is 4.8 "Environment," and the Program Elements associated with the climate change initiative is 4.8.2 "Clean Productive Environment."

- Increase in income of forest-dependent communities.
- Greenhouse gas emissions, estimated in metric tons of CO<sub>2</sub> equivalent, reduces, sequestered, and/or avoided as a result of USG assistance (F Indicator 4.8-7).
- Number of innovations that help reduce forest degradation developed/adapted.
- Number of innovations that reduce consumption of fuel wood and increase the use of alternative technologies developed/adapted.
- Reduction in use of fuel wood among targeted households.
- Increase in the use of alternative technologies to meet energy needs in targeted households.
- Number of innovative methods, tools, and processes for fuel wood efficiencies supported.
- Number of market linkages established.
- Research on forest resource management completed and its results integrated in government guidelines, policies and/or working plans.
- Number of applied research papers on production function on key NTFP species developed.
- Number of enterprises for key NTFPs developed in the target area.
- Number of non-forest based livelihood opportunities developed and supported in the target area.
- Number of people receiving training in global climate change as a result of USG assistance (F Indicator 4.8.2-6)
- Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance (F Indicator 4.8.2-10)
- Number of institutions with improved capacity to address climate change issues as a result of USG assistance (F Indicator 4.8.2-14)
- Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance (F Indicator 4.8.2-28)
- Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (F Indicator GNDR-2)

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<sup>14</sup> For more information on Standard Foreign Assistance Indicators, please see <http://www.state.gov/f/indicators/>

### 3. Program Coordination and Communications

Successful Program implementation will require effective coordination, collaboration, and communication among a variety of organizations and programs in order to maximize benefits, minimize duplication of effort, and ensure Program outputs are readily transferable to inform policy. Programs should plan to work with USAID/India in coordinating with other stakeholders and development partners and communicating Program progress and achievements, including with the following:

- **Host Country Government Agencies:** These include Government of India's Ministry of Environment and Forests, Ministry of Tribal Affairs, Ministry of Rural Development, and other relevant ministries, such as the Ministry of New & Renewable Energy that has formulated the National Biomass Cookstove Programme for implementation in the 12th Plan Period. In order to initiate Program activities and show program impact as soon as possible after Program award, the Applicants should describe how it will engage government counterparts at the appropriate levels, including State Forest Departments and Panchayati Raj Institutions. Applicants are responsible for obtaining any government approval required to implement Program activities.
- **Relevant Organizations and Institutions:** These include the Indian Institute of Technology, World Bank, Asian Development Bank, UN agencies, and other donors and development partners.
- **USAID Implementing Partners:** Organizations and contractors working on other USAID-supported activities in India, including the Partnership for Land Use Science (Forest-PLUS) program; Partnership to Advance Clean Energy (PACE) program; Strengthening Health Outcomes through Private Sector (SHOP) program.

Program communications efforts, should be compliant with USAID branding and marking guidelines and rules<sup>15</sup>, and may include products such as a website, fact sheets, brochures, activity briefs, media advisories and press releases, speeches, newsletters, presentations, photos and graphics, maps and geospatial data.

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<sup>15</sup> Graphic Standards Manual for the U.S. Agency for International Development (USAID) is available at <http://www.usaid.gov/branding/gsm>

## Annexure: Logical framework

| Narrative Summary                                                                                              | Objectively Verifiable Indicators and Targets                                                                                                                                               | Means of Verification / Data Source                                 | Important Assumptions/Risks                                                                                                                           |
|----------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Goal:</b> Innovations in climate change mitigation impact people's lives at the base of the pyramid (BOP).  | <ul style="list-style-type: none"> <li>Increase in income of forest-dependent communities.</li> </ul>                                                                                       | Project reports, baseline reports and surveys, evaluation reports   |                                                                                                                                                       |
|                                                                                                                | <ul style="list-style-type: none"> <li>Greenhouse gas emissions, estimated in metric tons of CO2 equivalent, reduced, sequestered, and/or avoided as a result of USG assistance.</li> </ul> |                                                                     |                                                                                                                                                       |
| <b>Purpose</b> (i.e. central result): Low carbon innovations in the forestry sector tested and scaled.         | <ul style="list-style-type: none"> <li>Number of innovations that help reduce forest degradation developed/adapted.</li> </ul>                                                              | Monitoring reports, field surveys                                   | The government, which 'owns' the majority of forests in India, would invest resources to scale the innovations.                                       |
|                                                                                                                | <ul style="list-style-type: none"> <li>Number of innovations integrated in government guidelines, policies and/or working plans.</li> </ul>                                                 | Government reports, project reports                                 |                                                                                                                                                       |
| <b>Sub-purpose 1:</b> Innovations for fuel wood management supported.                                          | <ul style="list-style-type: none"> <li>Number of innovations that reduce consumption of fuel wood and increase the use of alternative technologies developed/adapted.</li> </ul>            | Project reports, survey and evaluation reports                      |                                                                                                                                                       |
| <b>Outputs</b> (for sub-purpose 1):<br>1.1. Efficiency of fuel wood usage increased.                           | <ul style="list-style-type: none"> <li>Reduction in use of fuel wood among targeted households.</li> </ul>                                                                                  | Baseline survey, mid-term assessment reports and evaluation reports | It is assumed that these technologies would be affordable and cost-effective, and the capacities of the targeted households to use them can be built. |
| 1.2. Access to alternative technologies to meet energy needs developed.                                        | <ul style="list-style-type: none"> <li>Increase in the use of alternative technologies to meet energy needs in targeted households.</li> </ul>                                              | Baseline survey, mid-term assessment reports and evaluation reports |                                                                                                                                                       |
| <b>Inputs</b> (for sub-purpose 1):<br>1.1 Innovative methods, tools, and processes for fuel wood efficiencies. | <ul style="list-style-type: none"> <li>Number of innovative methods, tools, and processes for fuel wood efficiencies supported.</li> </ul>                                                  | Work plans and project reports                                      |                                                                                                                                                       |
| 1.2 Alternative technologies and market linkages.                                                              | <ul style="list-style-type: none"> <li>Number of alternative technologies accessed by the community.</li> <li>Number of market linkages established.</li> </ul>                             |                                                                     |                                                                                                                                                       |

|                                                                                                             |                                                                                                                                                                                        |                                      |                                                                                                                                                          |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Sub-purpose 2:</b> Systems for forest resource management strengthened.                                  | <ul style="list-style-type: none"> <li>Research on forest resource management completed and its results integrated in government guidelines, policies and/or working plans.</li> </ul> | Work plan, government reports        |                                                                                                                                                          |
| <b>Outputs</b> (for sub-purpose 2):<br>2.1. Sustainable harvest levels of key NTFPs determined.             | <ul style="list-style-type: none"> <li>Number of applied research papers on production function on key NTFP species developed.</li> </ul>                                              | Research reports, conference reports | Determining the sustainable extraction level of NTFPs should be a part of a more comprehensive assessment of the sustainability of the forest ecosystem. |
| 2.2. Systems for co-management of forests resources improved.                                               | <ul style="list-style-type: none"> <li>Number of research papers on co-management of forest resources developed.</li> </ul>                                                            |                                      | The government/ forest department is amenable to improvement in system of co-management.                                                                 |
| <b>Inputs</b> (for sub-purpose 2):<br>2.1. Studies of production functions of key NTFP species.             | <ul style="list-style-type: none"> <li>Number of research studies completed.</li> </ul>                                                                                                | Work plan and project reports        |                                                                                                                                                          |
| 2.2. Studies of existing governance system in focus areas.                                                  | <ul style="list-style-type: none"> <li>Number of existing governance systems analyzed.</li> </ul>                                                                                      |                                      |                                                                                                                                                          |
| <b>Sub-purpose 3:</b> Innovations to increase incomes of forest dependent communities supported.            | <ul style="list-style-type: none"> <li>Increase in income of the targeted households.</li> </ul>                                                                                       | Baseline and evaluation reports      |                                                                                                                                                          |
| <b>Outputs</b> (for sub-purpose 3):<br>3.1 Enterprises to add value to sustainably-harvested NTFPs created. | <ul style="list-style-type: none"> <li>Number of enterprises for key NTFPs developed in the target area.</li> </ul>                                                                    | Project reports                      | It is assumed that sustainable extraction limits of NTFPs are known.                                                                                     |
| 3.2 Non-forest based livelihood opportunities developed and supported.                                      | <ul style="list-style-type: none"> <li>Number of non-forest based livelihood opportunities developed and supported in the target area.</li> </ul>                                      |                                      | It is assumed that capacities of the forest-dependent communities can be enhanced to take on non-forest based livelihood activities.                     |
| <b>Inputs</b> (for sub-purpose 3)<br>3.1. Support development of enterprises to add value to key NTFPs.     | <ul style="list-style-type: none"> <li>Number of enterprises involving NTFPs introduced.</li> </ul>                                                                                    | Work plans and project reports       |                                                                                                                                                          |
| 3.2. Support and promote alternative livelihood opportunities in forest-dependent communities.              | <ul style="list-style-type: none"> <li>Number of alternative livelihood opportunities introduced.</li> </ul>                                                                           |                                      |                                                                                                                                                          |

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

### **PART I - CERTIFICATIONS AND ASSURANCES**

The following is required to be submitted along with the application:

1. Certifications and Assurances:

<http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

2. Screenshot of your organization's active profile page at <https://www.sam.gov/portal/public/SAM/>

You will need to download the SF-424 forms plus the Certifications and Assurances from the sites INDICATED ABOVE, fill these out, sign and date where indicated, scan these and then submit along with your application. All applicants are required to submit these forms and certification failing which their application may not be accepted by USAID.

Please note that you will need to provide a Data Universal Numbering System (DUNS) number for your organization in the SF-424 form and also in the Certifications and Assurances. You can obtain a DUNS number via internet by applying for one at <http://fedgov.dnb.com/webform/index.jsp>. The DUNS number must be provided in the appropriate blocks of the SF-424 series form(s) and the Certifications and Assurances.

After obtaining a DUNS number, you will need to register your organization with Central Contractor Registration. For doing that, please visit <https://www.sam.gov/portal/public/SAM/> for completing the process. Follow the guide (see Attachment 2) on registration for International Entity Organizations. It takes a few days before your organization's profile gets activated. The SAM registration process must be initiated immediately upon receipt of the DUNS number. Attach a screenshot of your organization's active profile page along with your application.

### **PART II - STANDARD PROVISIONS**

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

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

2. SF 424 Application For Federal Assistance Website: This form can be downloaded here:

[http://apply07.grants.gov/apply/forms/sample/SF424\\_2\\_1-V2.1.pdf](http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf)