



USAID
FROM THE AMERICAN PEOPLE

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Closing Date & Time Concept Papers:

June 15, 2020 at 5:00 PM EDT

Subject:

Global Development Alliance (GDA) Program Annual Program Statement
APS No.: APS-OAA-16-000001

Opportunity Title:

Health, Ecosystems and Agriculture for Resilient, Thriving Societies
(HEARTH) No.:7200AA20APS00002

To: All Interested Respondents/Parties:

The United States Government represented by United States Agency for International Development (USAID) through the Office of Forestry and Biodiversity invites Concept Papers that deliver transformational solutions to cross-sectoral development challenges in biodiverse landscapes. Through this addendum to USAID's Global Development Alliance Annual Program Statement, USAID aims to provide its Missions and the private sector a flexible opportunity to partner in the co-creation and delivery of high impact activities that conserve biodiverse ecosystems and improve the well-being and prosperity of communities that depend on them.

Subject to the availability of funds, award(s) will be made to the responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. USAID reserves the right to fund any or none of the application(s) submitted.

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

To be eligible for award, the applicant must provide all information as required in this addendum and meet eligibility standards. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity.

It is the responsibility of the applicant to ensure that the entire addendum has been downloaded from www.grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering or accessing www.grants.gov, please contact the grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Responses to Frequently Asked Questions ([FAQs](#)) will be posted and updated as deemed appropriate throughout the open submission period. Applicants are advised to check the FAQs every couple of weeks.

Thank you for your interest in USAID programs.

Sincerely,

Stella Alexander - Sergeeff
Supervisory Agreement Officer
M/OAA/E3/EMD

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

ANNOUNCEMENT

CALL FOR PARTNERSHIP CONCEPT PAPERS

**HEALTH, ECOSYSTEMS AND AGRICULTURE FOR RESILIENT, THRIVING SOCIETIES
(HEARTH)**

UNDER EXISTING

**GLOBAL DEVELOPMENT ALLIANCE ANNUAL PROGRAM STATEMENT
APS No.: APS-OAA-16-000001**

PLEASE NOTE: This is an addendum to an existing announcement. All interested organizations should carefully review both this addendum AND the full announcement, which can be found here: <https://www.usaid.gov/gda/global-development-alliance-annual-program>. Important information contained in the full worldwide announcement is not repeated in this specific addendum.

This program is authorized in accordance with Part 1 of the Foreign Assistance Act of 1961, as amended.

Through this Addendum to the Global Development Alliance (GDA) Annual Program Statement (APS) No. APS-OAA-16-000001 (the GDA APS), the Office of Forestry and Biodiversity in USAID's Bureau for Economic Growth, Education and Environment (USAID/E3/FAB) is seeking **transformational solutions to cross-sectoral development challenges in biodiverse landscapes**. The Health, Ecosystems and Agriculture for Resilient, Thriving Societies (HEARTH) Addendum **aims to provide USAID Missions and the private sector a flexible opportunity to partner in the co-creation and delivery of high impact activities that conserve biodiverse ecosystems and improve the well-being and prosperity of communities that depend on them**. This Addendum serves as a call for concept papers.

Depending on local needs, **sectors that may comprise HEARTH concepts include:** biodiversity conservation, health, food security (agriculture and nutrition), governance, economic development and livelihoods, water supply and sanitation, education, modern energy solutions, forest management and restoration, and climate resilience. Concepts should integrate activities and outcomes in sectors prioritized by the USAID Mission(s) in the country or countries where activities are proposed to be implemented. Concepts should be complemented by strategic private-sector investments that fill gaps in funding or action in these same sectors or other sectors to meet both development priorities and business goals.

Concept papers should be based on a robust and logical theory of change that 1) integrates and monitors development efforts to meet individual sector goals; 2) demonstrates close collaboration with the private sector to efficiently leverage USAID and partner resources and expertise to facilitate sustainable prosperity for communities living with or benefiting from biodiversity; 3) demonstrates positive synergistic effects and/or co-benefits from cross-sectoral programming; and 4) recognizes that recipient communities will actively participate in the design and implementation of the intervention. To achieve broader impact for the development community, activities awarded through this Addendum should plan to generate and share evidence regarding the relative efficacy of integrated programming by rigorously monitoring, evaluating and reporting. Data generated through this robust approach will be translated into evidence to consider via adaptive management processes as stipulated in the USAID Biodiversity Policy, and will serve as the foundation for a range of learning materials and opportunities. Capturing and sharing findings on the potential

co-benefits for sectors not directly included in the activity--such as health outcomes for an integrated biodiversity, food security and energy activity--will bring additional value. USAID/Washington (USAID/W) will be available, within staff constraints, to help Missions and partners with co-design of activities before award, and to assist with monitoring, impact evaluations where feasible, learning, and adaptive management after awards.

Proposed activities should be limited to countries where USAID has strategic interests to advance and should respond to overlapping sectoral challenges and opportunities. Proposed site locations should be limited to areas with high biodiversity, or where interventions are likely to have a direct positive impact on threatened species or biodiverse landscapes, consistent with the goals of the [USAID Biodiversity Policy](#). Interested partners may submit one or more concept papers for each HEARTH participating country. See **Appendix A** for a list of Missions participating in the Addendum and their unique deadlines and specifications for concept paper(s).

Based on the USAID Mission priorities and private-sector capabilities in particular landscapes, concept papers should propose cost-effective partnerships and activities *including all or an appropriate subset* of the following **development sectors** [See **Appendix A** (USAID Mission and Country Details) and **Appendix B** (Sector-specific Considerations) for more details]:

1. Conserve **biodiversity** and natural resources associated with a high-biodiversity ecosystem(s);
2. Improve the **health** and well-being of local communities in close proximity to a high-biodiversity ecosystem;¹
3. Promote nutrition and **food security** for rural communities through, for example, [regenerative agriculture](#);
4. Strengthen relevant inclusive **governance** and capacity at local and/or national scales to support target communities and institutions, including through land rights and conflict management and mitigation;
5. Improve and stabilize long-term **economic opportunity and livelihoods** for underserved and marginalized communities, including women's economic empowerment and gender equality;
6. Improve sustainable access to **safe drinking water, sanitation, and hygiene**;
7. Improve **education** so target communities are better able to sustainably manage their resources, and improve their incomes, health and livelihoods, especially for children;
8. Increase local community access to modern (efficient, reliable and clean) **energy** sources;
9. Reduce pollutants and increase carbon sequestration from **forest management and reforestation**;
10. Increase **climate resilience** at landscape, national and/or regional scales.

USAID/W has built a cross-sectoral team of technical experts from the Bureaus of Global Health (GH), Food Security (BFS), Democracy, Conflict, and Humanitarian Assistance (DCHA), Economic Growth, Education, and Environment (E3), as well as the Bureaus for Africa and Asia to provide assistance to solicit and procure HEARTH solutions and support Mission and private-sector collaborators in activity design ("co-creation"), and monitoring, learning, and impact evaluation planning. This Addendum is managed by the USAID/E3/Office of Forestry and Biodiversity (FAB). All resulting activities will be managed by USAID Missions. Alliances developed under the HEARTH Addendum must reflect significant engagement of the private sector, focused on areas where values align and capabilities are complementary or synergistic, and leverage private sector resources on at least a 1:1 basis, per the requirements of the [GDA APS](#).

¹ USAID's three health goals include: preventing child and maternal deaths, controlling the HIV/AIDS epidemic, and combating infectious diseases, with activities focused on maternal and child health, family planning, nutrition, infectious disease prevention and treatment, and/or health system strengthening.

Subject to the availability of funds, there is no predetermined limit to the number of awards made. Nor is there a set range of annual or life-of-project funding for each award. For estimates of the amount of funds, by sector, in countries where USAID has an expressed interest in cross-sectoral solutions, see Appendix A. Unless otherwise stated herein, all terms and conditions of the GDA APS apply (<https://www.usaid.gov/gda/global-development-alliance-annual-program>). Prospective applicants need to read the GDA APS.

I. Background

Thriving biodiverse ecosystems and the natural resources and services they provide--such as water and air filtration, carbon storage and sequestration, flood prevention, soil formation, pollination and pest control, food and fuel--are critical for the health and well-being of all people, especially rural communities. The recently published [Global Assessment Report on Biodiversity and Ecosystem Services](#) demonstrates, in alarming detail, how the health of ecosystems on which humans and all other species depend is deteriorating more rapidly than ever. Consequently, the very foundation of our economies, livelihoods, food security, nutrition, health and quality of life is eroding.

Recent biodiversity statistics are alarming: up to 1 million species are threatened with extinction, many within decades. Land use change and land degradation have also reduced the productivity of 23 percent of the global land surface, while at the same time adversely affecting human health and nutrition. In a critical new study--the first of its kind--economists and one-health experts from the Infectious Disease Emergence and Economics of Altered Landscapes (IDEEAL) Project calculated the typically-ignored externalized costs of environmental degradation on human health. Results found that in Malaysian Borneo, excessive forest conversion to palm plantations will cost Malaysia \$748 million in net economic loss over the next thirty years, partly in lost tourism revenue and partly in excessive health care costs from malaria, childhood illness, malnutrition and emerging diseases. Agriculture and climate change impacts are also affected by declining biodiversity. Up to \$577 billion in annual global crop production is at risk from pollinator loss, and 100-300 million people are at increased risk of floods and hurricanes because of loss of coastal habitats and protection.

The natural environment is considered so important to the global community that three of the seventeen United Nations' Sustainable Development Goals focus entirely on it: Goal #13, [Climate Action](#); Goal #14, [Life Below Water](#); and Goal #15, [Life on Land](#). Conservation and stewardship of a country's biodiversity and natural resources underpin its sustainable development, resilience, and self-reliance.

Rural communities whose lives and livelihoods depend on the resources provided by biodiverse areas are particularly vulnerable to degrading ecosystems and weakened environmental governance. These challenges are compounded as populations rapidly expand without parallel increases in agricultural productivity, and without improved access to markets, health care and family planning services, water and sanitation, or education. Together, these challenges reinforce a deleterious cycle that puts more people into extreme poverty and further stresses biodiverse ecosystems.

To counteract major threats to biodiverse areas and those populations dependent on them, a comprehensive, cross-sectoral response is required to ensure that vulnerable ecosystems are conserved and affected communities can prosper. USAID promotes integrated programming that combines actions across sectors and involves relevant stakeholders. USAID believes that this holistic approach will effectively support our partner countries in their [Journey to Self-Reliance](#).

A hearth is the area surrounding a fireplace, where a family might cook, eat, play, study, relax, and otherwise make use of the best light and heat available. HEARTH recognizes that aspirations for a better life begin in the home, and decisions made by individuals and households are as important as those of community leaders and governments in determining prospects for development and the condition of the planet. HEARTH also

merges “Heart” and “Earth,” reflecting that the health of people and the planet are intertwined, and it is logical and practical to promote integrated remedies to complex challenges.

The HEARTH team has modeled an integrated development approach after the Planetary Health concept, which promotes “the health of human civilization and the state of the natural systems on which it depends.”² Traditional development is too often siloed with inadequate cross-sectoral coordination, missing potential co-benefits and synergistic impact. Research demonstrates significant cross-sectoral benefits from integrating development sectors, such as health, agriculture, and conservation, with synergistic returns on investment.³ The HEARTH team is working to promote innovative, transformative and integrated development opportunities that leverage ideas, expertise, capacity and resources from the private sector, as well as harnessing the technical expertise in USAID Missions and Washington D.C., to better serve Missions and partner governments to advance their strategic interests and integrated programming priorities.

Participating country Missions have been identified based on their interest in cross-sectoral development, available sector funding, alignment with their program cycle, and alignment with the Missions’ [Country Development Cooperation Strategy \(CDCS\)](#). Concept papers submitted under the HEARTH Addendum should, at a minimum, propose approaches that include all sector priorities indicated by the Mission (See Appendix A), but may integrate up to all ten development sectors, depending on potential Mission funding and private-sector interests.

Initial Participating Countries include: Bangladesh, Democratic Republic of the Congo, Ethiopia, Kenya, Madagascar, and Zambia. Additional countries may be added over time and prospective partners should continue to monitor this solicitation on [grants.gov](#) for related amendments. USAID/W welcomes suggestions for other suitable HEARTH alliances outside of these Missions should an applicant be aware of a suitable landscape, funding opportunity, and transformative idea. Potential geographic regions include USAID partner countries in sub-Saharan Africa, South and Southeast Asia, Latin America and Caribbean; however, *please contact the HEARTH team to discuss the country of interest before submitting a concept paper.* (hearthgda@usaid.gov).

II. The Role of the Private Sector

There are many development challenges where private sector interests align with sustainable development and conservation. Synergistic efforts therefore offer an efficient path to outcomes that benefit all involved parties. USAID and the private sector each possess robust networks, diverse resources, and varied types of expertise; bringing these together to work in concert offers governments and businesses a set of value propositions and opportunities that would otherwise escape our separate efforts. Given the fundamental interdependency between business and development, USAID is committed to engaging the private sector in order to determine where and how our interests align, whether and how markets and private sector activities can be sustainable

² The Rockefeller Foundation–Lancet Commission on Planetary Health.

³ Ample evidence exists for the benefits of integrated health/environment/agricultural programming. Communities living nearby biodiverse ecosystems, such as tropical forests or fisheries, benefit from improved health (Herrera et al. *Nature Comms* 2017), nutrition (Rasolofson et al. *Scientific Reports* 2018), livelihoods (Kalonga and Kulindwa. *Forest Pol & Eco* 2017), and agriculture production (Reed et al. *Forest Pol & Eco* 2017). A multi-island study in the Philippines found that integrated population-health-environment (PHE) programming delivered better results than either conservation or reproductive health interventions alone (D’Agnes et al. *Environmental Conservation* 2010). Children living near protected areas had a 13 percent lower risk of stunting than similar children living elsewhere (Naidoo et al. *Sci Advances* 2019). Over a 10 year period, the Millennium Villages Project demonstrated favorable impacts from implementing integrated interventions on agriculture, nutrition, education, child health, maternal health, HIV and malaria, and water and sanitation (Mitchell et al. *Lancet Global Health* 2018). A recent [review](#) of PHE studies reports many similar such findings. Much other evidence exists regarding the potential value of integrated health/conservation programming, when executed efficiently.

drivers of valuable development results, and how development results can provide business value and opportunities.

Partnership opportunities abound to achieve long-term sustainable development outcomes that benefit vulnerable communities and ecosystems. The HEARTH concept is predicated on the understanding that the private sector can bring innovative ideas, technologies, market access and market solutions to advance complementary interests and values, align or synergize with USAID Mission priority sector investments, and help fill in critical sector gaps to meet both development priorities and business goals. For more information on USAID's commitment to private sector engagement, please see USAID's [Private Sector Engagement Policy](#).

III. Core HEARTH Principles

The HEARTH Addendum is based on the following principles, which should guide concept papers:

- A. HEARTH aims to advance both sustainable human well-being and biodiversity conservation at the landscape-scale (up to hundreds of thousands of people), by investing in local communities alongside the biodiverse ecosystems on which they are dependent.
- B. Ecosystems are the foundation of economies, and the practice of conservation can sustain natural resources and services fundamental to health and food security while improving governance, prosperity and resilience to shocks.
- C. Poor and marginalized people often have few economic and food options, are highly dependent on natural resources, and are among the first impacted by ecosystem degradation.
- D. Market-based, cross-sectoral coordination and integration are necessary for long-term development solutions.
- E. Local communities, as the intended beneficiaries, should actively participate in the design and implementation and feel ownership of any HEARTH activity.
- F. HEARTH is committed to rigorous design, monitoring, and evaluation to measure impact, discern relative efficacy of integrated approaches, and ensure accountability.
- G. Lessons from previous cross-sectoral development activities demonstrate that technical expertise in each sector is required to be implemented effectively; it is less effective for individual organizations strong in one sector to attempt implementation of approaches outside of their core expertise. Consortia of different partners, or fewer partners with demonstrated strong expertise across multiple areas, are often more effective implementers of cross-sector programs.
- H. The private sector has unique skills and capacities that synergize with USAID, particularly where values overlap. The public and private sectors are both crucial to ensuring long-term success of HEARTH activities and sustainability of development and conservation outcomes.
- I. Most development sectors are enabled by strong governance at both local and national levels. Experience demonstrates that successful development projects accurately identify critical governance factors and either seek to improve them directly, or account for them in designing long-term sustainable solutions.

IV. Solicitation

Through this announcement, USAID seeks to develop new and innovative alliances with private sector actors to achieve market-based, cross-sectoral sustainable development outcomes that benefit biodiverse ecosystems and the people who depend on them. Private sector actors include, but are not limited to, local and multinational corporations, grant-making foundations, and financial institutions. Prospective private-sector

partners may want to engage one or more implementing partners (IPs)--often local or international non-governmental organizations (NGOs).⁴

The best concepts will reflect robust collaboration between USAID, the private sector, and IPs and a clear plan to sustain conservation while improving community well-being and prosperity. Concepts should address all **priority sectors** indicated by the Missions, complemented by **strategic private-sector investments** that reflect clear value propositions for private sector partners in Mission priority sectors and/or complementary sectors. Each Mission has also identified **potential sectors** that it would consider funding if concept papers or co-creation reveal a significant need and opportunity. (See Appendix A for more details.)

The USAID/Mozambique's partnership with the Carr Foundation is an excellent "HEARTH" example--based on an ambitious idea and alliance with recognized, long-term business and development interests. The partnership designed the [Gorongosa Restoration Project](#) to restore and conserve Gorongosa National Park by combining 1) strengthened protected area conservation, 2) sustainable rural development in nearby communities, 3) science-based approaches to understand Gorongosa's complex landscape, and 4) sustainable tourism to create employment for local people and generate sustainable revenue for the Park. Following decades of civil war, communities and wildlife within and around the Gorongosa landscape are now more secure and thriving. A successful coffee project, which has planted 300,000 coffee plants and 50,000 native trees, supplies coffee to local hotels and is increasing farmers' incomes. Carnivore populations, such as African lions and wild dogs, have rebounded indicating that the overall health of the ecosystem has improved. As part of the project, communities' well-being has improved with increased access to health clinics, primary education, and even a Master's program in Conservation Biology.

The Gorongosa example is illustrative of what HEARTH aims to support. Generic examples that integrate desired development and private-sector outcomes include:

- Creating or fortifying a Marine Protected Area (biodiversity conservation & governance) with mangrove restoration (climate resilience), sustainable fisheries management (food security and economic development) and community primary health care and family planning (public health).
- Building communities' capacity to co-manage forested areas around a critical watershed (biodiversity conservation, governance and water) while strengthening landscape-level sustainable crop-livestock systems such as private-sector agroforestry (livelihoods, climate resilience and food security), reducing zoonotic disease risk (public health) and improving value chains and market access (economic development).

These examples are illustrative only, and are not meant to limit applicant creativity. All proposed concepts must have an explicit and direct link to the participating country's [Country Development Cooperation Strategy \(CDCS\)](#). Proposed activities must intend to benefit a high-biodiversity landscape within the participating country(ies), which often, but not always, means that intervention(s) take place in or near the targeted biodiverse area (actions dealing with policies or markets are notable exceptions). Programmatic integration also typically involves co-location of activities, but is not limited by co-location because activities may act at different geographic and/or social scales. Furthermore, concepts should present a holistic integrated approach beyond just co-location. Transboundary or regional concepts are acceptable as long as they advance the strategic interests and integrated programming needs of the participating countries involved.

Concept papers should include clear objectives, a target geography, and an integrated approach based on a high-level Theory of Change (TOC) as the development hypothesis in the required GDA APS [Concept Paper Template](#). If a concept paper is accepted for further consideration, the TOC will be expanded and clarified

⁴ Per the terms of the GDA APS, NGOs are not considered private sector for purposes of meeting the private sector requirements under the GDA APS.

during continued co-creation by applicant(s), partners and USAID, and further refined after award during work planning, as activity design and MEL design are developed together.

A robust TOC, such as that required in a full application, is based on an in-depth causal analysis of issues influencing the situation of interest, and is rooted in a rigorous and evolving evidence base. Developing and using a TOC builds a common understanding of activity logic and assumptions among stakeholders, and facilitates future monitoring, adaptive management, learning and evaluation. Diverse guidance exists on how to best design and use a TOC. USAID has published a [TOC training](#) and more specifically, [How-to-Guides for Biodiversity Programming](#), including [Using Results Chains to Depict Theories of Change](#). Use of results chains is the preferred approach for building out the TOC and incorporating tightly-aligned activities and monitoring components.

V. Evaluation Criteria

Concept papers will be evaluated based on the general criteria set forth in the [GDA APS](#) in Section VI: Concept Paper Evaluation Criteria and Considerations. USAID will evaluate concept papers and decide whether to engage applicants in further co-creation. Proposed alliances should be consistent with USAID legal and policy restrictions, including those set forth in USAID's Automated Directives System (ADS) and in the Foreign Assistance Act of 1961.

As stated in this HEARTH Addendum, USAID expects concept papers to articulate how proposed partnerships will mobilize private sector resources at a minimum 1:1 ratio. That is, the value of the various private sector resources (cash and in-kind) contributed to an alliance must equal and, in general, should significantly exceed the value of resources provided by the U.S Government. The resources mobilized from the private sector should support and be applied to the alliance in a manner that clearly fosters extensive and important results. GDAs require high-impact private sector resource investments.

In addition, a highly competitive concept paper addresses most if not all of the following:

- Includes a clear cross-sectoral approach likely to improve the well-being and prosperity of rural communities and the conservation of high-biodiversity landscapes on which they depend;
- Aligns to one or more objectives articulated in the CDCS for the relevant Mission(s);
- For participating countries listed in Appendix A, addresses all the USAID-priority sectors identified, and include other potential sectors where appropriate;
- Articulates how private sector resources, (i.e., money, technologies, experience, expertise or other assets) complement USAID investment, fill a sector gap(s), or both while tackling and resolving a development challenge and advancing the HEARTH goals;
- Recognizes that local communities are integral stakeholders and active participants in any HEARTH activity;
- Includes a thoughtful and logical high-level TOC, design, and monitoring plan likely to generate actionable evidence;
- Shows that the potential partners, collectively, have demonstrated technical expertise in the proposed sector areas, and develop cross-sectoral consortia where necessary;
- Includes ambitious ideas and alliances that demonstrate a recognized business and/or development interest and long-term commitment to the targeted geography.

NOTE: If USAID requests a full application after evaluation of the initial concept paper, applicants will be given additional, specific evaluation criteria that speak to the subject matter of the concept.

VI. Application Instructions and Review Process

All pre-award activities under this Addendum, including the concept paper review process, will be managed by USAID/E3/FAB with support from the HEARTH team of technical experts from USAID/GH, USAID/BFS, USAID/E3 and USAID/DCHA based in Washington, D.C. During the initial review process, the level of engagement of relevant USAID Mission Offices and Regional Bureaus will vary depending on their availability. Awards issued under this Addendum will be managed by USAID field Missions.

In order to be eligible for consideration under this Addendum, applicants must submit a concept paper using the required [Concept Paper Template](#). **Before submitting a concept paper, prospective applicants or consortia should contact the HEARTH team at hearthgda@usaid.gov regarding their prospective alliance ideas and alignment with USAID's and the Addendum's goals.** Pages [15-16 of the GDA APS](#) state that non-private sector applicants, with private sector defined per Appendix I of the GDA APS, should provide the USAID POC with the name and contact information of their prospective private-sector partners as early as possible and prior to developing and submitting a concept paper. This permits USAID and the private-sector partner(s) to explore value propositions associated with working together and come to some initial understandings how we might collaborate and synergize investments in target landscapes for outcomes that benefit all stakeholders. Having this initial general understanding of shared value and interests is a prerequisite to successful concept papers.

Co-Creation

Under the GDA APS, USAID POCs can have extensive and highly detailed design discussions with prospective private-sector partners with regard to potential alliance ideas and activities, so long as that partner is not seeking to receive and manage award funding from USAID. Such discussions help foster the co-creation that is core to the Global Development Alliance approach. They also help create significant flexibility for how USAID and the private-sector partner might ultimately co-create investment opportunities that leverage the relative strengths of all involved parties to achieve the HEARTH goals in the most effective manner. These discussions also help the private-sector partner work with its potential IP(s) in developing and submitting a relevant concept paper.

As described in detail in pages 9-16 of the [GDA APS](#), continued co-creation after a concept paper is reviewed allows USAID and the proposed alliance partners to clarify the objectives and approach outlined in the concept paper, confirm shared value, and ensure the applicant is well-prepared to provide a full application, if requested. During this stage of co-creation, the prospective applicant, private-sector partner(s), the Mission, and the HEARTH team will refine a situation model and theory of change, explore options for and requirements associated with experimental and quasi-experimental design, and discuss how to develop indicators to support monitoring, adaptive management, evaluation and learning. If co-creation results in a mutually acceptable GDA and a set of specific activities that advance the objectives of that GDA, the pertinent USAID Mission will request a full application.

Activity Design, Monitoring, Evaluation and Learning

The ability to effectively monitor activities, evaluate their impact, and learn from the experience depends on a thoughtful and methodologically rigorous approach to activity design. USAID seeks solutions that demonstrate robust design grounded in an efficient and logical theory of change (TOC), tightly linked to appropriate activities and corresponding performance and impact indicators.

As an initial step, concept papers should include a high-level TOC in narrative format (using the required GDA APS Concept Paper Template, Section II.C: "Monitoring and Evaluation Approach") that guides actions and monitoring. Applicants may also include a one-page diagram of their high-level TOC as an attachment. This one-page diagram should follow the general TOC guidance listed above, showing at a high-level how proposed activities will synergize for HEARTH outcomes, and how activities might be monitored to detect problems and/or report progress.

If USAID requests a full application, that application should include a robust TOC and reflect implementation and monitoring considerations needed to support impact evaluation, such as experimental or quasi-experimental design. This will help meet USAID's requirements for 1) measuring programmatic impact, and 2) demonstrating the extent to which integrated programming may produce better results than single-sector solutions. A draft Monitoring, Evaluation and Learning (MEL) plan is also expected as part of the full application.

Note that, regardless of the designed activities, HEARTH activities will be designed to be able to report on indicators that capture co-benefits for four core outcomes of interest of this integrated activity: 1) biodiversity conservation, 2) prosperity, 3) governance, and 4) human well-being. Exactly which indicators will serve this purpose for these four broad outcomes will be determined through co-creation and activity design for each HEARTH site, and their appropriateness will depend on local context and the nature of the activity.

If an award is made, the HEARTH team, given staff constraints, can/will assist the Mission and successful applicant with start-up tasks including work planning and indicator development to ensure evaluation and sector-specific needs are met. This is effectively a second phase of co-creation, focused on implementation rather than design.

Communication and Submission

Please note that USAID communication with applicant entities seeking to receive and manage award funding from USAID under this Addendum is initially limited to publicly available information. While that allows for extensive and robust discussions, it does not allow USAID to engage in highly specific or detailed activity design discussions until entities seeking USAID award funding submit a qualifying concept paper. By contrast, USAID is free to engage in more detailed design discussions with the private sector and other partners not seeking to receive and manage a USAID award. Questions regarding the nature and scope of partner discussions prior to the submission of a concept paper can be directed to gda@usaid.gov or Ken Lee at kenlee@usaid.gov.

The period after submission of concept papers permits further flexibility and opportunities for co-creation with USAID, the private-sector partner and the proposed IP(s). The full process after submission of concept papers is described in the [GDA APS](#) and, given the objectives of this addendum, may take 6-12 months.

Please note that non-private sector applicants must include a letter of support directly from the prospective applicant's private-sector partners. For U.S based Non-Governmental Organizations, [2 CFR 200](#) and [2 CFR 700](#) are applicable. For non-U.S based Non-Governmental Organizations, [ADS 303mab](#) Standard Provisions for Non-US Non-Governmental Organizations apply.

Applicants are required to follow the concept paper instructions set forth in the GDA APS and submit concept papers using the [Concept Paper Template](#). Information provided in Section I.E of that Template should address the objectives and criteria presented above.

The completed Concept Paper and required Supporting Information should be sent to USAID at hearthgda@usaid.gov with a copy to gda@usaid.gov.

For consideration, **concept papers must be submitted by 5:00PM EST on the date specified by the relevant USAID Mission (See Appendix A for dates).** However, USAID encourages prospective partners to submit quality concept papers as soon as possible during the submission period (December 3, 2019 - June 15, 2020). USAID is eager to explore and develop alliances that address the objectives of this addendum. As a result, USAID will review concept papers on a rolling basis. Concept papers and proposed alliances that warrant further consideration may advance in the process earlier than the specified Mission deadline.

To accommodate the variability in USAID Mission programming cycles, USAID anticipates that additional countries will be added over time and prospective partners should monitor this solicitation on [grants.gov](https://www.usaid.gov/grants) for amendments. If applicants or private-sector partners are aware of excellent ideas that meet the HEARTH objectives in landscapes in USAID-partner countries not currently listed in Appendix A in sub-Saharan Africa, South and Southeast Asia, Latin America and Caribbean, *applicants are requested to contact the HEARTH team at hearthgda@usaid.gov to explore whether a concept paper may be warranted.*

Although USAID will review concept papers on a rolling basis, USAID/W may not provide a response to a concept paper until 45 days after the Mission's specific submission deadline (see Appendix A). Please do not inquire regarding the status of a concept paper until after that time. USAID appreciates applicant patience and understanding with regard to these timelines. USAID reserves the right to fund any, some, or none of the full applications that ultimately result from submitted concept papers and the co-creation process under the GDA APS.

VIII. Questions and Further Assistance

NOTE: This Addendum to the GDA APS serves primarily to outline the goals and priorities of USAID in making award(s) that advance HEARTH. More comprehensive information regarding the GDA APS application and review processes (including Concept Note submission, Co-Creation, Full Application, and Evaluation stages) can be found in the umbrella [GDA APS](#). Applicants are advised to refer extensively to both documents in preparing Concept Papers.

Questions regarding the substance and objectives of this Addendum should be directed to hearthgda@usaid.gov. Please indicate in the email subject line "HEARTH GDA APS Consultation".

Questions regarding the substance and terms of the 2016 – 2018 GDA APS should be directed to Ken Lee at kenlee@usaid.gov, with copy to gda@usaid.gov and hearthgda@usaid.gov.

For additional information regarding guidelines and procedures to submit a concept paper, please refer to the [GDA APS](#) and the [Partner and Applicant Resources](#).

APPENDIX A - USAID MISSION(S) & COUNTRY DETAILS

USAID Missions interested in receiving concept papers through the HEARTH Addendum have identified a set of contextual factors to assist applicants in drafting their paper. This guidance represents known areas of interest or opportunity and are the encouraged topics for concept papers, but other factors, development sectors, private-sector interests and/or geographies may be considered if they fulfill the HEARTH criteria and are first discussed with the HEARTH team (hearthgda@usaid.gov).

- **Priority sectors** (c.i) have been identified by each Mission as sectors that they are interested in and able to fund if concepts sufficiently address HEARTH principles. Proposed concepts should address all USAID Mission-funded priority sectors, complemented by strategic private-sector investments in these same sectors or sector gaps to meet community needs.
- Each Mission has also identified **potential sectors** (c.ii) that it could fund if concept papers or co-creation reveal a significant need and opportunity. Applicants should not feel compelled to include potential sectors and should do so only if there is sufficient value added.
- Finally, USAID Missions have identified a few potential broad **private-sector opportunities** (c.iii) that complement Mission priorities and likely would be feasible and impactful. *The private-sector opportunities listed (c.iii) are intended only to spur ideas and not to limit novel and creative approaches. The HEARTH team and Missions gratefully welcome and will consider all concept papers that fulfill the HEARTH criteria.*

Concept papers should use integrated approaches to achieve sustainable, long-term, landscape-scale conservation of biodiverse ecosystems and improve the well-being and prosperity of communities that depend on them. Under this framework, key HEARTH sectors include: biodiversity conservation, health, food security (agriculture and nutrition), governance, economic development and livelihoods, water and sanitation, education, energy, forest management and reforestation, and climate resilience. If a sector is not included in the activity design, it may still be important to monitor that sector for co-benefits as part of the Monitoring, Evaluation and Learning (MEL) plan.

While this Addendum will be open through June 15, 2020 to accommodate Missions that may participate in the future, each Mission has their own specific deadline for submitting concept papers, as indicated below. The submission period for each Mission is designed to be sufficiently long for private-sector partners and applicants to develop consortia appropriate for each landscape and to develop an initial theory of change, and for USAID to explore value propositions with potential private-sector partners.

Also, although the same private-sector partner and respondent may ultimately end up working with multiple Missions, please submit separate concept papers for each country. Missions will be reviewing concept papers independently. Depending on concept papers and the outcome of co-creation, Missions may make separate awards for each landscape, or one award to cover multiple landscapes in a country. Therefore, available funding may ultimately be divided between landscapes, or focused entirely on one landscape.

1) **Bangladesh**

- a. **Background:** The USAID/Bangladesh Mission recognizes that environmental conditions are deteriorating rapidly in the country and that cross-sectoral, market-based partnerships offer new opportunities for long-term sustainable development and conservation that benefit natural-resource dependent communities. Other partnerships could improve health conditions in urban areas or effectively engage youth in solving problems and supporting development outcomes in their communities. Bangladesh's high population density, robust economic growth and rapid urbanization are driving deforestation and forest degradation, with only 11% of the country still forested and forest loss continuing at 2,600 hectares per year.

Nowhere is biodiversity conservation more at risk than in the Sundarbans, the world's largest remaining protected mangrove forest and a critical area for economically important fisheries, coastal communities, and Bengal tigers. The Sundarbans account for half of the country's remaining forests and are home to millions of Bangladeshis who depend on the mangroves for food, livelihoods, and protection against cyclones. Biodiversity--in the Sundarbans and elsewhere--is threatened by poaching, human-wildlife conflict, deforestation, oil spills, and unsustainable resource extraction. The Sundarbans wetland spans the border with India and is within 100 kilometers of both the Indian megalopolis of Kolkata and the Bangladeshi city of Khulna, where demands for Sundarbans natural resources are high. Meanwhile, the Sylhet Division, part of a mosaic of wetlands and an important wintering ground for migratory birds, is threatened by siltation, overfishing, overexploitation of native vegetation, and conversion of wetlands for rice cultivation or human settlements. Economic development in Sylhet has lagged behind much of the rest of the country.

USAID has a history of supporting community-based natural resource management in Bangladesh, devolving rights to manage and benefit from nature. Actions that build on this work, improve livelihood opportunities, and decrease vulnerability to natural disasters and environmental degradation are needed, in concert with work to improve civil society resilience and protect vulnerable populations and human rights. A 2019 [report](#) from the World Bank suggests potential opportunities for improving the sustainability of development in the Sundarbans, with concepts applicable to other areas. Appendix C provides an overview of the Mission's interest in urban air pollution. The Mission is particularly interested in activities which might engage youth.

- b. Geographic Focus
 - i. Sundarbans
 - ii. Meghna River Mouth
 - iii. Sylhet
 - iv. Select urban areas, particularly Dhaka, Chittagong, and Khulna.
 - c. Development sectors
 - i. USAID-funded priority sectors: biodiversity conservation, energy, food security (agriculture/nutrition), health, and democracy and governance
 - ii. USAID potential sectors: education, water and sanitation, youth, climate resilience, women's economic empowerment and property rights
 - iii. Some possible private-sector opportunities: eco-tourism, agroforestry, sustainable natural resource management, air pollution solutions (see Appendix C: Air pollution)
 - d. Anticipated total funding level during 2020
 - i. \$1,000,000. Subject to the availability of funds and competitiveness of concept papers received, there may be additional funding for future years.
 - e. Last day to submit concept papers
 - i. March 15, 2020
 - f. Additional information
 - i. Air pollution: Please see Appendix C for more information on potential alliances to tackle Bangladesh's significant air pollution problem, which is a priority for the Mission.
- 2) **Democratic Republic of the Congo (DRC)**
- a. Background: Eastern DRC is one of the most politically fragile landscapes on Earth. Since the Rwandan genocide, when 2-3 million refugees fled to DRC from Rwanda, the area has been

afflicted by severe instability and violence. An estimated 5.4 million people died in Eastern DRC from 1998-2008 from famine or violence. Lack of governance, security, infrastructure and other factors prevent the formation of a stable agricultural sector and deter foreign investment, despite ample natural resources (including gold and rare-earth elements) and arable land. It also has negative consequences for public health, livelihoods, and food security, including an ongoing Ebola epidemic that has lasted over a year despite a sizable global response. A key impediment is community mistrust, which prevents the contact tracing and case management necessary to stop an Ebola epidemic. Further, recent outbreaks of other diseases such as measles and malaria have strained an already weak health system.

The national parks of Garamba, Virunga, Kahuzi-Biega and Maiko, as well as the Okapi Wildlife Reserve and the broader Ituri Forest of which it is a part, are near or overlap with the Ebola-affected region, harbor unique and threatened species, and often have relatively higher security due to the presence of rangers and international conservation organizations, allowing opportunities for development not available elsewhere. The USAID Mission envisions these national parks and the buffer zones around them as anchors of development and stability, and welcomes concept papers for cross-sectoral investments in the national parks and surrounding communities, in partnership with private-sector stakeholders.

- b. Geographic focus
 - i. The national parks and their buffer zones in North and South Kivu Province and Ituri Province: Garamba, Virunga, Kahuzi-Biega, Maiko National Parks and Okapi Wildlife Reserve
- c. Development sectors
 - i. USAID-funded priority sectors: biodiversity conservation, food security and agriculture, democracy rights and governance, conflict management and mitigation, livelihoods
 - ii. USAID potential sectors: education, energy, water and sanitation, maternal and child health, family planning, malaria, global health security (Ebola preparedness and response), humanitarian assistance
 - iii. Some possible private-sector opportunities: eco-tourism, agribusiness, energy
- d. Anticipated total funding level
 - i. \$1-2 million per year for ~5 years
- e. Last day to submit concept papers
 - i. March 31, 2020
- f. Additional information
 - i. Local capacity and trust: The above factors have strained the capacity of local organizations operating in Eastern DRC. Competitive concept papers will show a plan to fill the capacity gap and help strengthen and build the capacity of local organizations. They will also show how they will build the trust of local communities by involving them in design and implementation of solutions, with benefits staying local.
 - ii. Complexity: Because of the fragility of Eastern DRC and the presence of other donors and international actors, applicants should not feel compelled to include all potential sectors in concept papers. Rather, the intent is to provide sufficient investment in the priority sectors in the national parks and buffer zones so that they become part of a broader solution to improve the situation in the East, and so should be rooted in clear value propositions. Applicants can show openness to including other sectors or collaborating with other development partners in the area, but should only propose investments in potential sectors that add sufficient value to the concept without excessive complexity. Details of the investments in “potential sectors” can

be refined through co-creation as the landscape evolves and opportunities to leverage other aid actions emerge, but are welcome in concept papers if applicants see fit to include them.

3) Ethiopia

- a. Background: The Lower Omo Valley in southern Ethiopia was designated a UNESCO World Heritage site in 1980 for its unique archeological, geologic and cultural significance. While the Omo is not densely populated (estimated population 573,000), it is one of Ethiopia's most socially diverse zones with as many as twelve distinct indigenous communities. However, large-scale hydroelectric and sugar cane development threaten the way of life of these unique local populations. The construction of the Gibe III hydroelectric dam, the tallest in Africa, has reduced the flow of the Omo River and eliminated the seasonal flooding critical to maintaining the traditional livelihoods of these agro-pastoral communities. In addition, the Government of Ethiopia is in the process of completing the Omo Kuraz Sugar Development Project, a series of large scale sugar plantations totaling 375,000 hectares. Numerous reports indicate that environmental and social impact assessment and mitigation was insufficient, including one from [International Rivers](#) stating that the Gibe III Dam will "generate a region-wide crisis for indigenous livelihoods and biodiversity and thoroughly destabilize the Ethiopia-Kenyan borderlands around Lake Turkana." During the dry season, communities from the Lower Omo Valley have been forced to migrate across the border of Kenya and South Sudan in search of pasture, causing widespread ethnic tensions and conflicts both within Ethiopia and across international borders. They have also been [forced onto resettlement sites](#) within Ethiopia, [without adequate consultation or compensation](#), causing significant strife between these communities and the government. The newly elected government has signaled a desire to work with local indigenous communities to restore their dignity and rights.

A recent policy and program analysis in South Omo Zone identified the following major development challenges: prevalence of Harmful Traditional Practices (HTP), prevalence of livestock disease, livestock raids by opposing groups both within South Omo and from Kenya; shrinkage of crop and grazing land and conflict over limited resources as a result of government mega projects as well as environmental degradation and shocks such as drought and flood, and limited access to livestock markets. However, this region also has significant development potential, with rich natural and cultural resources that provide opportunities for ecosystem services, livestock resource development, and ecotourism.

The policy analysis recommended strengthening indigenous governance systems and practices for peaceful co-existence. This approach should be based on a strong scientific evidence base and should promote tenure security for local people, protect their rights and benefits from mega projects and other exploitative factors. Development should create market linkages and build livestock commercialization, promote diversification and alternative livelihood opportunities, improve access and utilization of basic social and economic services; and provide social protection and risk management, all while addressing cross-cutting issues such as nutrition, HTP, and gender.

A landscape-scale HEARTH activity should include the Omo National Park and neighboring wildlife reserves, and the communities of concern in the Lower Omo Valley. Applicants may also consider connectivity with Boma National Park in South Sudan, which is critical for a major large mammal migration. Interventions in communities (and at the policy level) would be expected to reduce threats to nearby high biodiversity areas; conversely, any protected area management interventions would be expected to improve livelihoods and land rights for rural people.

- b. Geographic focus
 - i. Omo Valley Woredas

- ii. Consider connectivity or cooperation with Boma National Park in South Sudan
 - c. Development sectors
 - i. USAID-funded priority sectors: food security (agriculture and nutrition), water and sanitation, livelihoods, democracy and governance, and promotion of indigenous rights
 - ii. USAID potential sectors: health, education, climate resilience, conflict management and mitigation, biodiversity conservation, women's economic empowerment and property rights
 - iii. Some possible private-sector opportunities: eco-tourism, agribusiness, livestock feed and energy production from sugar cane waste, enhancing indigenous communities' opportunities, cultural heritage promotion
 - d. Anticipated total funding level
 - i. \$1.5 million per year for ~ 5 years
 - e. Last day to submit concept papers
 - i. February 29, 2020
 - f. Additional information
 - i. USAID is currently funding health system strengthening activities in South Omo.
 - ii. The first year of activities should emphasize the engagement with local communities to understand their needs and priorities, and prioritize improving the national and local governance environment to enable activities in future years.
- 4) **Kenya**
- a. Background: Kenya has made significant political, structural and economic reforms that have largely driven sustained economic growth, social development and political gains over the past decade. The 2010 Constitution created a two-tiered devolved system of government with 47 counties established to bring service delivery closer to the people. However, the development context in Kenya is marked by numerous complex challenges. These include, more than 60% of the population living in poverty with limited access to basic services, chronic drought and food insecurity, limited access to clean water and sanitation services, high maternal and under-five mortality rates, corruption and mis-allocation of development resources undermining productivity, natural resource degradation, and a growing youth population with limited employment options, putting pressure on social systems. The high population growth is slowly eroding the per capita funding available for health, education, and other services. Meanwhile, Kenya has a large diversity of ecological zones and habitats, including lowland and mountain forests, wooded and open grasslands, and freshwater and marine ecosystems. Kenya's economy is largely nature-based, and heavily reliant on biodiversity and environmental services. Environmental services drive the country's agriculture (crop and livestock), energy and fisheries economies. Kenya's natural resources have significantly declined over the past decades (for instance, 68% reduction in wildlife population since 1977, 88% of rangelands highly degraded and significant forest cover losses), however, concerted efforts in countering poaching and strengthening conservation are leading to a slow recovery of most wildlife species and other natural resources.

In spite of the significant wildlife declines, Kenya still hosts the third largest rhino population in the world and 4th largest elephant population in Africa. Over 65% of Kenya's wildlife is found outside protected areas, on community and private lands. Wildlife-based tourism and photography contributes an average 13.7% of Kenya's gross domestic product, and 10% of the national formal sector employment. There is tremendous potential to expand Kenya's wildlife tourism economy and spin-off service sectors to increase investment returns to communities and private landowners hosting wildlife on their lands. This would help reverse poverty levels and youth unemployment

among vulnerable communities in biodiverse areas. According to the World Travel and Tourism Council, Kenya's tourism economy grew at 5.6% in 2018, faster than the global average of 3.9% and the regional average of 3.3%, creating 1.1 million jobs.

USAID/Kenya and East Africa (USAID/KEA) Mission aims to strengthen its alignment with the devolved government structure, focusing on specific counties and landscapes that host Kenya's major wildlife corridors and dispersal areas to expand growth in wildlife tourism through private sector partnerships and enhance connectivity of wildlife corridors. The Mission has a long history of working in partnership with the Kenyan Government in strengthening the enabling environment for communities, private landowners and the private sector to invest in wildlife conservation and tourism. USAID's support through the Kenya Wildlife Conservancies Association (KWCA) benefits all conservancies in Kenya. KWCA lobbies and advances legislative and policy reforms in support of conservancies, working in partnership with Government ministries, the Kenya Wildlife Service and other stakeholders. USAID's landscape-level biodiversity conservation support to conservancies in northern, coastal, Masai Mara, Amboseli and Tsavo ecosystems protects Kenya's most important ecological areas. Conservancies currently cover 11% of Kenya's land mass, providing much needed space and connectivity for the 65% of wildlife found outside protected areas and improved livelihoods for more than 700,000 households. However, business investments in majority of the conservancies are few and below optimal capacity to sustain conservancy operations and their economic viability.

Through this GDA solicitation, USAID/KEA invites interested business investors, private foundations, and other private sector partners to leverage USAID support to conservancies in specific biodiverse landscapes in Kenya for greater economic, ecological and social impact and sustainability. Sectors of interest for proposed partnerships include tourism investments, livestock market investments, women and youth owned businesses, water and sanitation services, health services, education, youth workforce development, and conservancy governance among other opportunities.

Three biodiverse landscapes are proposed for partnership: 1) Northern landscape 2) The Masai Mara landscape including the Mau Forest and 3) Southern and Coastal landscape.

Cross-sectoral partnerships in planning and implementation are necessary to catalyze investments that promote self-reliance. The Mission promotes the piloting and scale-up of effective cross-sectoral integrated solutions based on bottom-up approaches and horizontal partnerships that empower individuals, households and communities.

b. Geographic focus

- i. Northern Kenya: USAID/KEA has a long history of investment in this region. The region has some of the most mature conservancies with strong governance systems and County Government partnerships. The region hosts the 2nd largest population of elephants in the country, Kenya's most diverse species of wildlife, and the only community-owned and managed sanctuaries for elephants, rhinos and rare Hirola antelopes (one of only two places in the world that hosts the nearly extinct Hirola antelope). There are ten high-end tourism operations and camping investments in the region, with significant potential for growth. Northern Kenya's tourism potential has not been marketed or branded, and therefore is little known to the majority of investors and tourists. Livestock markets are weak but with high potential for growth. USAID/KEA invites expressions of interest from business investors, private foundations and other private sector partners to leverage USAID support and forge partnerships with community conservancies in scaling up tourism investments, livestock market investments, women and youth owned businesses, water and sanitation

services, health services, education, and youth workforce development, among other opportunities. Through these partnerships, USAID/KEA aims to support community conservancies in this region to maximize their returns to investments in wildlife conservancies, foster prosperity, self-reliance and ecological sustainability.

- ii. Masai Mara and greater Mau Forest ecosystem: USAID/KEA investments around the Masai Mara reserve over the past five years have scaled up land under wildlife conservancies to a size equal to the reserve, providing critical buffer zones and dispersal areas for the reserve. The Mara hosts 25% of Kenya's wildlife. The region is a well branded tourism destination; its wildebeest migration is one of the Seven Wonders of the World. Conservancies around the Mara reserve offer a unique and controlled tourism experience, host 49 tourism investments, and have high potential for expansion. Current livestock investments are weak and have low returns. High degradation of the Mau Forest complex has led to severe declines in the volume of the Mara River, which is the lifeline of the Mara ecosystem. USAID/KEA invites expression of interests from business investors, private foundations and other private sector partners to leverage USAID support and forge partnerships with community conservancies in this region in scaling up tourism, livestock market investments, women and youth owned businesses, water and sanitation services, health services, education, and youth workforce development, and conservancy governance among other opportunities. USAID/KEA also invites interested partners to support a payment for ecosystem services (PES) scheme around the Mau forest and Mara river system, to sustain the ecological viability of the Mara ecosystem.
 - iii. Southern and Coastal Kenya landscape: The Tsavo, Amboseli and Coastal Kenya region has had the least USAID/KEA investments in conservancy development. However, USAID investments over the past five years have laid a foundation for growth and expansion of conservancies in this region. The Tsavo ecosystem hosts the largest elephant population in the country and the largest protected area national park system. However, critical wildlife corridors outside the national park system are threatened by agricultural encroachment and one of the highest cases of human-wildlife conflicts. USAID/KEA invites expression of interests from business investors, private foundations and other private sector partners to leverage USAID support and forge partnerships with community conservancies in this region in strengthening governance, supporting communities in establishing new conservancies in critical wildlife dispersal areas, scaling up tourism to maximize community investments, scaling livestock market investments, women and youth owned businesses, water and sanitation services, health services, education, and youth workforce development among other opportunities.
- c. Development sectors
 - i. USAID-funded priority sectors: biodiversity conservation, business development (tourism, livestock, women & youth-owned businesses), water and sanitation, conservancy governance and policy and legislative reforms
 - ii. USAID potential sectors: economic development and livelihoods, women's economic empowerment and property rights, youth workforce development, health, education
 - iii. Some possible private-sector opportunities: business development (tourism, livestock, women & youth enterprises), youth workforce development
 - d. Anticipated total funding level
 - i. \$2.5 Million during FY2020 (Subject to the availability of funds and competitiveness of concept papers received, there may be additional funding for future years.)

- e. Last day to submit concept papers
 - i. February 29, 2020
- f. Additional information
 - i. USAID currently has many cross-sectoral activities in Kenya promoting conservation, well-being and livelihoods, as detailed above. These activities are ripe for increased engagement with the private sector for the co-creation of activities for scale up and innovation. USAID welcomes concepts that articulate how they will complement or build on prior and current USAID support to the geographies noted.

5) **Madagascar**

- a. Background: Over the last several decades, Madagascar has experienced rapid and widespread deforestation and forest degradation. Farmers set fire to existing forest to clear land for cultivation, and livestock herders set fire to pastureland for fodder. Insufficient attempts to control the slow-burning fires result in far more burning than intended, with enormous consequences for people and wildlife. This “slash and burn” cultivation combined with hunting has reduced some lemur populations by 99 percent. Land-intensive farming practices are not resulting in substantially better health due in part to poor dietary diversity. Madagascar has among the highest rates of stunting on Earth, and forest burning is associated with yearly outbreaks of bubonic plague, perhaps by displacing reservoirs from forests into villages.⁵ Already threatened landscapes confront a steady influx of people displaced by drought, flood, or other factors in search of land, food, jobs, and resources. Reversing these trends requires that local communities have different and new livelihood opportunities.

USAID/Madagascar welcomes robust private sector concept papers, especially for co-investments in agribusiness, agroforestry and reforestation. These concept papers should show a plan for stimulating the creation and/or growth of multiple private-sector businesses in specified landscapes (listed below) that will promote and profit from sustainable conservation. The idea is to support businesses and communities to avoid deforestation and reforest at a big enough scale and/or in a concentrated way that it will have an impact on biodiversity, watersheds and climate emissions. This can range from a mix of investments with interested actors in eco-tourism, alternatives to charcoal production, agribusinesses interested in greening supply chains and/or incorporating agroforestry and conservation agriculture at scale in partnership with local communities. These investments may take the form of grants or loans to existing businesses to expand their business models to include agroforestry. Additional service provision such as off-grid or mini-grid electricity and clean water would also be welcome but must have an impact on forest habitat and biodiversity conservation at a landscape scale.

The mission prefers models with multiple private-sector investments coordinated through an umbrella entity such as an investment fund or an anchor business. Such a coordinating mechanism has multiple advantages: it helps promote synergy, complementarity, efficiency, capital attraction and local accountability for investments, while also streamlining coordination with USAID. Depending on the landscapes and the co-creation process, other investments in local communities (such as community health and health insurance, family planning, education, land rights, land planning) may be appropriate.

- b. Geographic focus
 - i. The North and North-East Landscapes and Seascapes, including the Makira, Masoala, and Antongil Bay protected areas (MAMABAIE) and the Marojejy - Anjanaharibe Sud -

⁵ This association between forest burning and plague is widely suspected but has not been rigorously proven.

Tsaratanana Forest corridor (COMATSA) as the core zones, as well as the Mananara Nord Biosphere Reserve. Key ecosystems and species targeted in this North-East Region include coastal marine areas, coral reefs, mangroves and wetlands, tropical rainforests, lemurs, and other endangered species.

- ii. Fandriana-Vondrozo Forest Corridor (COFAV): Located in the escarpment of eastern Madagascar with Ranomafana and Andringitra protected areas as the principal core zones. Key ecosystems and species targeted include tropical rainforests, lemurs, and other endangered species.
 - iii. Atsimo-Andrefana Landscapes and Seascapes: Located in the southeast with Mikea, Velondriake, and Tsinjoriake protected areas as core zones. Key ecosystems and species targeted include dry and coastal spiny forests, mangrove forests, coral reefs, tidal mudflats, seagrass beds, beaches, islands bordered by dry forest wetlands, marine and coastal areas, lemurs, and tortoises.
 - iv. Menabe Landscapes and Seascapes: Located on the central western coast with Kirindy and Baobab Alley protected areas as important core zones. Key ecosystems and species targeted include dry forests, wetlands and coastal areas, mangrove forests, baobab forests, lemurs, tortoises, and other endangered species.
 - v. Anosy Landscapes and Seascapes: Located in the southeast with Andohahela and Mandena protected areas as core zones. Key ecosystems and species targeted include spiny forests, humid rainforests, coral reefs, beaches, marine and coastal areas, lemurs, tortoises, and other endangered species.
 - vi. Ankeniheny-Zahamena Corridor (CAZ) : Located in the eastern part of Madagascar, this expansive forest corridor includes Zahamena and Mantadia National Parks with the Mangerivola Reserve. This protected area has lowland and mid-altitude humid forests, primary montane forest and wetlands. It is home to many endangered species, and to a total of 15 lemur and 30 other mammal species, along with 89 bird, 129 reptile and amphibian and over 2,000 plant species. Threats to the corridor include slash-and-burn agriculture, unsustainable timber and non-timber forest product harvesting and illegal mining activities. Biodiversity conservation, the protection of ecological services, minimization of carbon dioxide emissions from deforestation, and maintaining forest cover and connectivity between forest blocks are priority management objectives.
- c. Development sectors
- i. USAID-funded priority sectors: biodiversity conservation, private-sector business development, energy access, water, health
 - ii. USAID potential sectors: education, governance, climate resilience, women's economic empowerment and property rights
 - iii. Some possible private-sector opportunities: agroforestry, agribusiness (shade-grown commodities), greening of supply chains such as maize, eco-tourism, investment funds
- d. Anticipated total funding level (across sectors)
- i. \$5 million for life of project, \$1 million per year
- e. Last day to submit concept papers
- i. March 31, 2020

6) **Zambia**

- a. Background: About 30 percent of Zambia's 752,618 square kilometers has been set aside for wildlife conservation in the form of National Parks and Game Management Areas. This land is divided among 20 national parks, covering 60,000 km², and 36 game management areas (GMA). Some national parks that have received external support have significantly improved their

management. On the other hand, many GMAs have received little external support and suffer greatly from mismanagement. Outside of the official reserves, wildlife still exists in forested areas and on customary lands that can be important corridors between protected areas. Many of these protected areas are major catchments for Zambia's major rivers and sustain high biodiversity in a variety of ecosystems, many of which are conserved through a network of protected areas. The Kafue National Park in the Kafue ecosystem is the country's largest park and home to the highest diversity of antelope species in the world. The Luangwa ecosystem is another unique area with 3 national parks, including the South Luangwa, Luambe and North Luangwa national parks. The North Luangwa National Park contains the country's only population of the black rhino.

Zambia faces numerous environmental challenges such as agricultural land clearing, poaching, deforestation and degradation, uncontrolled fires and overfishing. The deforestation rate in Zambia is one of the highest in the world, officially set between 250,000 to 300,000 hectares per year. Cross-sectoral, market-based approaches are needed to protect biodiversity, increase rural incomes, and improve integrated land, water and natural resource governance. USAID/Zambia is interested in receiving applications from interested impact investors, private foundations, philanthropists and other private sector actors that may partner with civil society organizations that bring development programming experience. Ideally, the partnership would leverage private sector resources, bring in the Zambian government as a key partner throughout the design and implementation of the activity and beyond. Potential areas of investment include eco-tourism, small and medium sized enterprises, especially women and youth owned businesses, water and sanitation services, health services, education, and natural resource governance.

Smallholder agriculture is the backbone of the rural economy in Zambia and agribusiness holds great potential for modernization. Improved water resource management is critical to mitigate the impact of climate change and build resilience. Strong resource governance, along with effective supporting institutions, is expected to help protect the rights and interests of vulnerable populations, support social stability, unlock private sector investment for transformative growth, and provide reliable public revenue that contributes to national self-reliance. Increased access to quality health and education services would not only support success in school and on the farm but also reduce pressure on natural resources caused by unexpected expenses and lost income.

- b. Geographic focus
 - i. The priority geographies for HEARTH-Zambia are portions of or the entire Kafue and/or Luangwa ecosystems.
- c. Development sectors
 - i. USAID-funded priority sectors: biodiversity conservation, food security (agriculture/nutrition), health, economic development and livelihoods, water and sanitation
 - ii. USAID potential sectors: Education, sustainable landscapes and climate resilience, women's economic empowerment and property rights
 - iii. Some possible private-sector opportunities: energy, agri-business, tourism
- d. Anticipated total funding level over 5 years
 - i. \$17-20 million
- e. Last day to submit concept papers
 - i. March 15, 2020
- f. Additional information

- i. USAID currently has many health, education and governance activities in Zambia. Concepts should articulate how they will complement or build on prior and current USAID support to the geographies noted.
- ii. The activity could consider private sector proposals from other areas that are congruent with the DELTA (Defending Economic Livelihoods and Threatened Animals) Act.

APPENDIX B - SECTOR-SPECIFIC CONSIDERATIONS

Note: The below guidance for each sector is intended to be general technical and USAID policy considerations for applicants' awareness. It is not intended to be limiting. Additional integration resources can be found [here](#).

I. Biodiversity

- A. USAID recognizes that strong natural resource management is the foundation for many communities' livelihoods and developing countries' economies. American companies depend on well-managed natural resources for stable and sustainable supply chains.
- B. USAID appreciates that human well-being and progress are dependent on the health of biodiversity systems and that long-lasting development gains are not possible unless biodiversity and natural resources are valued and safeguarded.
- C. USAID's biodiversity programs support partner countries on their journey to self-reliance. USAID follows Congressional requirements and the [USAID Biodiversity Policy](#) as a blueprint for how the Agency will work to achieve its vision of conserving biodiversity for sustainable, resilient development by:
 - 1. Conserving globally important biodiversity in priority places:
 - i. Protecting and managing land and seascapes,
 - ii. Investing in priority places to support people and nature,
 - iii. Combating wildlife trafficking, illegal fishing and illegal logging,
 - 2. Learning from and working with other sectors to achieve better development outcomes:
 - i. Improving governance of biodiversity and natural resources,
 - ii. Promoting security, nutrition, health and prosperity of local communities,
 - iii. Championing the rights of women, indigenous people and other often marginalized groups.
- D. USAID has a [Biodiversity Code](#) that guides it in determining which activities meet the "direct" programming biodiversity requirement. All USAID programs and activities that use biodiversity funds must comply with this Code, which has four key criteria:
 - 1. The program must have an explicit biodiversity objective; it isn't enough to have biodiversity conservation result as a positive externality from another program;
 - 2. Activities must be identified based on an analysis of drivers and threats to biodiversity and a corresponding theory of change;
 - 3. Site-based programs must have the intent to positively impact biodiversity in biologically significant areas; and,
 - 4. The program must monitor indicators associated with a stated theory of change for biodiversity conservation results.

II. Health

- A. USAID's global health efforts are focused around three strategic priorities: 1) Preventing child and maternal deaths; 2) Controlling the HIV/AIDS epidemic; and 3) Combating infectious diseases.
- B. Community Health. Community health activities in rural areas should use cost-effective means to scale up high-impact interventions through primary health care systems. These include:
 - 1. Comprehensive reproductive, maternal and child health care packages, including voluntary family planning
 - 2. Control of infectious diseases
- C. Global Health Security. Some biodiverse landscapes carry high risk for emerging epidemic diseases such as Ebola, Nipah, or plague. Relevant HEARTH activities might build health system capacity to rapidly detect and control an outbreak of these diseases. Applicants designing health activities around emerging diseases covered by the Global Health Security [Agenda](#) should propose activities that would improve a community health system's strength as assessed by the

- World Health Organization Joint External Evaluation (JEE) [tool](#), which divides activities into categories that allow a community or country to prevent, detect, and respond to outbreaks.
- D. Population, Health, Environment (PHE). Successful PHE models recognize the interconnectedness between people and their environment and support multi-sector coordination for integrating population and voluntary family planning with multiple sectors including environment, resilience, livelihoods, food security, water, economic development, education, democracy and governance while conserving critical ecosystems upon which they depend. HEARTH activities can scale up, replicate, and expand on many such proven activities.
 - E. Malaria and HIV. Malaria and HIV are funded by USAID through Presidential Initiatives (PMI and PEPFAR, respectively) that require significant advance planning. Therefore, new HEARTH sites should not expect USAID funding for malaria or HIV control activities in the first year of work. If data suggests that HEARTH sites have high burden or risk for malaria or HIV, HEARTH sites may be able to seek funding, beginning in year 2, from PMI and PEPFAR once other work in the landscape has begun, subject to mission approval and PMI/PEPFAR coordinator approval. Activities in the first year of work relating to malaria or HIV are not prohibited, but would require non-USAID funding.
 - F. Neglected Tropical Diseases. USAID funding for NTDs is currently not expected for HEARTH projects in year 1. NTD-related activities would require private sector funding, with a possibility of NTD funds in subsequent years.
 - G. Gender equality. Many health outcomes are affected by gender inequality, especially access to life-saving and preventive health care services. Gender considerations should be woven throughout HEARTH programming.

III. Agriculture, Food Security, and Nutrition

- A. Resilience and food security. USAID's current food-security efforts reduce global poverty, hunger and malnutrition, and help countries drive the inclusive economic development that enables self-reliance. However, shocks and stresses, as well as conflict, frequently lead to regression on development gains, and perpetuate a cycle of chronic vulnerability, poverty, and hunger. Increased focus on building resilience is needed to break this cycle, reduce the need for recurrent humanitarian assistance, and accelerate progress on the journey to self-reliance. Food security and agricultural resilience programs are implemented through [Feed the Future](#), the U.S. Government's global hunger and food security initiative. Feed the Future is guided by the whole-of-government [Global Food Security Strategy](#), which seeks to sustainably reduce global poverty, hunger and malnutrition. In addition, current food security and resilience programs have linkages to the [Multi-Sectoral Nutrition Strategy](#) and [U.S. Global Water Strategy](#).
- B. Complementarity with biodiversity programming. Agricultural activities which affect biodiverse landscapes are not always co-located. For example, upstream fertilizer use or protein production may impact pollution or bushmeat demand in a nearby biodiverse landscape. Therefore, agriculture programs that benefit a biodiverse landscape under HEARTH do not need to be exactly co-located, but a clear link to promoting biodiversity conservation must be shown.
- C. Complementarity between agricultural and health interventions. Optimal nutrition, especially for mothers and children, results from simultaneously improved agricultural outputs, diverse diets from biodiverse ecosystems, and health and nurturing care interventions. Good indicators of this complementarity are the early initiation of breastfeeding, exclusive breastfeeding in the first 6 months of life, the minimum acceptable diet (MAD) in children aged 6-23 months, continued breastfeeding from 6 to 23 months of age, and minimum dietary diversity of women (MDD-W).
- D. Regenerative agriculture. Many sites will benefit from agricultural practices and innovations to increase output, improve soil quality, improve crop nutritional value, and decrease environmental impact through practices including intercropping or polyculture, cover cropping, intercropping, crop rotation, agroforestry, organic farming, animal integration, no-till practices, promotion of soil health, and/or minimization of pesticides and synthetic nitrogen fertilizers. HEARTH

welcomes the opportunity to co-invest with the private sector to create sustainable agricultural solutions.

- E. Alternative protein sources to high-risk or unsustainable bushmeat. Animal-source foods are commonly lacking in the diets of the poor and vulnerable in developing countries, particularly among children and women who need them most. Due to their high content of quality protein and bioavailable micronutrients, increased consumption of animal-source foods can improve the nutritional status as well as the growth, psychomotor functions, cognitive development, and health of children. Important causes of low animal-source food consumption include low productivity and profitability of smallholder livestock systems, resulting from low quality and availability of feeds, poor genetics, limited culling rates, high disease incidence, and limited market access or engagement, among others. This can result in overreliance on high-risk or unsustainable bushmeat consumption, which can lead to elimination of critical sources of animal-source nutrients concomitant with species extinction, as well as to spread of important zoonotic disease including Ebola and Nipah viruses. There is a need to generate new livestock-related innovations and adapt existing ones to help spur sustainable intensification of livestock systems, which will improve household nutrition, food security, and economic well-being while conserving biodiversity and reducing risks associated with consumption of bushmeat. Potential downsides of livestock intensification, such as vulnerability to disease and overuse of antibiotics, should be considered and mitigated.
- F. Feed the Future and Food For Peace. These are two of USAID's flagship programs. Feed the Future typically implements development activities within sub-national Zones of Influence, while Food For Peace typically works in settings under humanitarian transition. Teams submitting concept papers that include food security outcomes in countries with Feed the Future and/or Food for Peace programming should familiarize themselves with current programming to get a better sense of Mission and program priorities.

IV. Democracy, Rights, and Governance (DRG)

- A. Participation and Inclusion. Programming that supports DRG outcomes should be inclusive of all people, including taking steps to ensure the voices of marginalized actors are heard in decision-making. Note that this may require understanding complex power dynamics and incentives to be executed effectively.
- B. Transparency and Accountability. Programming that supports DRG outcomes should spur transparency by key actors and strengthen accountability relationships based in rights enjoyed by stakeholders and duties borne by government and private sector actors. Note that this often depends on reinforcing relationships and building trust between actors to foster collaborative action.
- C. Conflict Management and Mitigation. Some landscapes have recent or long history of inter-group conflict. HEARTH programs should ensure that interventions are sensitive to these dynamics, and take a do-no-harm approach (such as by avoiding interventions that privilege one group over another and exacerbating conflict).
- D. Indigenous Peoples. The USAID [Indigenous Peoples' Policy](#) requires the robust engagement of indigenous communities in the design and implementation of activities that may affect them. Activities must be sure to not harm indigenous communities.
- E. Gender. Gender inequality often impairs development efforts. Gender considerations that engage men, women, and youth should be woven throughout HEARTH programming.

V. Economic Opportunity and Livelihoods

- A. Local livelihoods. Improved prosperity for affected communities is crucial to the long-term success of many development efforts, and should be considered as part of any activity. Increasing local prosperity is a core goal outcome of HEARTH. HEARTH encourages creative investments in local businesses to advance the HEARTH objectives.

- B. Thriving business environments. Improved livelihoods may result from a variety of investments, including in local and multinational businesses and in the regulatory environments in which businesses operate. HEARTH encourages creative investments that promote thriving business environments in which many local private sector businesses may materialize, flourish, and synergize to create sustainable improvements in local livelihoods.
- C. Women's Economic Empowerment and Property Rights. USAID supports the White House [Women's Global Development Prosperity \(WGDP\) Initiative](#) by, among other things, strengthening women's property rights in order to economically empower women. To the extent relevant and practicable, activities proposed should include committed social finance to strengthen women's property rights. Activities may be multifaceted with complementary, synergistic interventions, with interventions reliant on USAID donor funds and others that provide a return on investment funded with social impact investing. In addition, blended finance arrangements may be proposed, including loss guarantees.

VI. Water, Sanitation, and Hygiene (WASH)

- A. Technical expertise. Water and sanitation service delivery and support for correct and consistent adoption of improved hygiene behaviors require sector-specific capacity in a range of sectors (governance, financing, engineering, social sciences, and environment). This is often overlooked when selecting key personnel and allocating level of effort in large integrated activities. Like all sectors, WASH activities will require dedicated expertise if integrated into HEARTH programming. Co-location of WASH activities procured through a separate mechanism may be a preferred approach to meet the requirements of the funding directive.
- B. USAID's Water and Development Plan has four interrelated Development Results (DRs): DR 1, strengthen sector governance and financing; DR 2, increase sustainable access to and use of sanitation and the practice of key hygiene behaviors; DR 3, increase sustainable access to safe drinking water; and DR 4, improve the management of water resources. Water directive funds must be linked to the achievement of DR 2 and DR 3. Activities under DR 1 and DR 4 may also be eligible, if one of the activity's primary objectives is to increase sustainable sanitation services and/or the sustainable availability, quality, and environmental resilience of drinking water supply sources. Additional guidance on programming in WASH can be found [here](#).

VII. Education

- A. The [USAID Education Policy](#), released in November 2018, provides an Agency-wide vision and direction for supporting partner countries in strengthening their capacity to deliver quality learning opportunities for children and youth. The primary purpose of programming in education by USAID is to achieve sustained, measurable improvements in learning outcomes and skills development.
- B. The policy applies to education programming across all levels (from pre-primary through higher education), contexts (stable contexts to crisis and conflict-affected environments), settings (formal and non-formal), and providers (state and non-state).
- C. The principles laid out in the policy drive decision-making for new education investments supporting the vision that partner country education systems must enable all children and youth to acquire the education and skills needed to be productive members of society:
 - 1. Prioritize country-focus and ownership
 - 2. Focus and concentrate investments on measurably and sustainably improving learning and educational outcomes
 - 3. Strengthen systems and develop capacity in local institutions
 - 4. Work in partnership and leverage resources
 - 5. Drive decision-making and investments using evidence and data
 - 6. Promote equity and inclusion (including gender)

- D. Priorities illustrate key areas that are critical to supporting countries on their journey to self-reliance:
1. Children and youth, particularly the most marginalized and vulnerable, have increased access to quality education that is safe, relevant, and promotes social well-being.
 2. Children and youth gain literacy, numeracy, and social-emotional skills that are foundational to future learning and success.
 3. Youth gain the skills they need to lead productive lives, gain employment, and positively contribute to society.
 4. Higher education institutions have the capacity to be central actors in development by conducting and applying research, delivering quality education, and engaging with communities.

VIII. Energy

- A. Activities that support energy outcomes should consider impacts to the financial health of the energy sector as a whole. USAID's energy programs focus on strengthening the financial viability, equity, and environmental sustainability of partner countries' energy sectors. This includes ensuring that utilities are financially viable (not loss-making), that regulatory frameworks enable cost-recovery, affordable service, and equitable access simultaneously, and that markets are open, transparent, and competitive. It is recommended that energy-related activities are assessed for potential impacts to energy sector costs and utility commercial performance.
- B. The energy sector is currently in the midst of a rapid technological transformation, with dramatically falling prices and increasing uptake of renewable energy technologies, battery storage, and electrification. As this continues and near- and medium-term forecasts of continued cost declines for these technologies come to pass, such as growing household electrification of previously fuel-based end users, the economics of current and past energy sector interventions can and likely will change significantly. The risk inherent with this uncertainty should be accounted for when considering energy interventions that necessitate infrastructure and use of fuels that may become uneconomical. For example, in some locations new gas infrastructure may not be the cheapest option as a modern energy source in the medium-term.
- C. In many biodiverse landscapes, energy needs supplied by charcoal and firewood are a major reason for biodiversity decline and deforestation. Planning for sustainable, efficient and cost-effective alternatives for households in such landscapes should consider a holistic theory of change to address potential cross-sectoral obstacles to uptake of modern energy alternatives.
- D. Note that [Power Africa](#) funds cannot be used for household cooking solutions. Power Africa funds can only support activities that:
1. Increase MegaWatt generation capacity and/or,
 2. Increase the number of households and businesses with access to electricity.

IX. Sustainable Landscapes

- A. USAID Sustainable Landscapes (SL) programming promotes the conservation, management, and restoration of forests, wetlands, and agricultural lands.
- B. Improving forest and other land management enhances livelihoods, increases land productivity, protects water resources, maintains biodiversity, and strengthens resilience to natural hazards while reducing greenhouse gas (GHG) emissions.
- C. SL programs focus on countries where globally important forests are threatened and where degradation of wetlands and agricultural land impairs development and drives GHG emissions.
- D. Direct SL funds must be spent on activities that have an explicit, primary objective of slowing, halting, or reversing GHG emissions from land use.

- E. SL activities should ultimately contribute to the capacity for developing and implementing cohesive national sustainable land management systems and focus on system-wide, landscape-scale solutions to address the root causes of deforestation and land degradation.

X. Resilience

- A. [USAID's 2012 Building Resilience to Recurrent Crises Policy](#) and Guidance describes resilience, generally speaking, as a set of capacities that allow people and systems to manage through adversity (i.e. shocks and stresses) without sacrificing future well-being. Shocks and stresses can be social, political, economic, environmental and climatological, idiosyncratic (death of a family member, illness, etc.) and more.
- B. Many USAID partner countries are considered Resilience Focus Countries (RFCs) where there is a Resilience Focus Zone where USAID and other activities and programs layer, sequence and integrate those humanitarian aid, development assistance and peace building activities and programs to achieve collective impact in strengthening the resilience capacities of people and systems. To the extent possible and feasible, and in consultation with USAID, HEARTH should operate in each country's RFZ.
- C. [The Global Food Security Strategy](#) elevates resilience to the Objective level of the Feed the Future initiative, and that *Objective 2: Strengthened Resilience among People and Systems* can be considered in USAID as sector-agnostic. Likewise, *Intermediate Results 5: Improved Proactive Risk Reduction, Mitigation and Management* and *6: Improved Adaptation to and Recovery from Shocks and Stresses* underlie all sectors' development efforts within a resilience framework. Doing so allows people and systems to adapt, absorb and transform in the face of shocks and stresses so as not to backslide into poverty and lose social and economic development gains on their journey to self-reliance.

APPENDIX C - AIR POLLUTION GUIDELINES

NOTE: Missions will specify in Appendix A if they are interested in receiving concept papers regarding air pollution.

Background

Household and ambient air pollution are associated with negative health outcomes, particularly for pregnant women and children (including child pneumonia, low birthweight, preterm birth, and preeclampsia). Air pollution also exacerbates cardiovascular and lung diseases', including the world's leading infectious cause of death, tuberculosis. These health consequences lead to over [7 million](#) annual deaths globally. Although the health impacts of poor air quality are well documented, the pathways and entry points to solutions that improve air quality are less well-described, particularly for lower- and middle-income countries (LMICs). Some of these solutions directly involve health sector programming, and some involve energy, conservation, and/or governance programming.

USAID's *LMIC Urban Air Pollution Solutions Report* (July 2019) (downloadable from www.harppnet.org) was developed through contributions from more than 20 technical experts and joint participation of USAID's GH, E3 and Asia Bureaus in an effort to aggregate the potential solutions to address air pollution that are policy-relevant to LMICs and positively impact public health. In addition, this technical document describes the steps for approaching air quality management, including methods for measuring air pollution levels, identifying sources, and considering associated health impacts. The document ends with a series of case studies to illustrate ongoing work to solve air quality challenges.

Air pollution is a cross-sectoral issue and reducing air pollution requires coordination across sectors including energy, environment, agriculture, governance, strengthening civil society and health. The cross-sectoral nature of reducing air pollution requires novel flexibility in USAID program design to manage and facilitate funding and objectives from different sectors, including private financing. Some of the world's most significant air pollution problems are cross-sectoral challenges in South Asia (e.g., caused by peat burning in Kalimantan, Indonesia; charcoal production for household fuel in Nepal; biomass burning for household cooking in India; brick kilns in Bangladesh).

An illustrative cross-sectoral HEARTH activity designed to reduce air pollution could address the multiple drivers of air pollution that arise from burning forest biomass (whether that burning arises during charcoal production, slash-and-burn agriculture, or burning of the biomass for household cooking or other means) and integrate activities from several streams of funding. For example, a HEARTH activity in South Asia could assist the transition to clean household fuels (see USAID's [LMIC Urban Air Pollution Solutions Report](#) for more information) and aim to (i) improve maternal and child health respiratory outcomes through integrated prevention programs that reduce the risk of pneumonia (including social and behavior change, community engagement, immunization and other health system strengthening); and, (ii) conserve the biodiverse forest since the landscape would experience less pressure for biomass extraction and burning. Typical first steps include the identification of the relevant sources of air pollution and building awareness of the key related issues among the affected communities and key constituencies.

HEARTH recognizes that stopping the burning of biodiverse ecosystems comprises one plank of a successful air pollution reduction program that is likely to be complemented by other activities in urban areas, such as improved governance, institutional capacity, data availability, and reducing the burning of agricultural waste or fossil fuels.

Example Opportunity: Confronting the challenge of air pollution from brick kilns and biomass in Bangladesh

In 2017, Bangladesh had 165 million people, only 35 percent of whom lived in urban settings. Significant rural-urban migration has created a huge construction boom in cities, much of which is supplied by bricks manufactured in brick kilns, a technology long used in South Asia. However, brick kilns are a major source of air pollution. In Dhaka, a city with one of the highest rates of air pollution on Earth, 58 percent of air pollution results from brick kilns, according to a 2014 source apportionment study from the Bangladeshi government's Clean Air and Sustainable Environment (CASE) Project. Brick kilns often rely on child labor, helping to keep labor costs low and keep out cleaner alternatives. Also, some brick kiln models pollute more than others. The government recently published a report on brick kilns and vehicle emissions summarizing their work and planning ("Sources of Air Pollution in Bangladesh" 2019). USAID sees an opportunity for co-investment with a private-sector partner to create alternative construction businesses to the current brick kiln model, which could help meet the surging construction demand in Bangladesh, generate large return-on-investment, while producing co-benefits for people and the environment.

Because brick kilns in Dhaka largely do not depend on biodiverse landscapes for fuel, such an activity would not be eligible for USAID biodiversity funding as it would not meet the requirements of the [USAID Biodiversity Policy](#). However, other sources of USAID funding are possible, and could be refined through co-creation. Therefore, creative activities that seek to replace brick kilns with cleaner alternatives in the construction industry are welcome under HEARTH.

However, in other cities in Bangladesh, wood burning is a significant source of air pollution. In Khulna, the closest city to the Sundarbans and Chittagong in the East, ~ 20 percent of PM_{2.5} results from wood burning. Therefore, a HEARTH activity in these landscapes could promote forest conservation while also decreasing air pollution from wood burning and would be eligible for USAID biodiversity funding.