



USAID | ARMENIA

FROM THE AMERICAN PEOPLE

Issue Date: May 13, 2016
Deadline for Questions: June 3, 2016, 12:00pm Local Time
Closing Date: July 13, 2016, 12:00pm Local Time

Subject: RFA-111-16-000004
Program Title: Participatory Utilization and Resource Efficiency of Water (PURE-Water)
Activity

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified Non-U.S. organizations to fund a program entitled Participatory Utilization and Resource Efficiency of Water (PURE-Water) Activity.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

Eligibility for this award is restricted to **Local (Armenian)** organizations; see Section C of this NFO for eligibility requirements.

Subject to the availability of funds an award will be made to that responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. While one award is anticipated as a result of this notice of funding opportunity (NFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". If your organization is interested in submitting an application, you are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

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

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NFO.

Please send any questions to the point(s) of contact identified in Section D: Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Applications must be submitted in electronic form in addition or instead of the hard copies to the attention of Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov.

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 applicants. All preparation and submission costs are at Applicants' expense.

Thank you for your interest in USAID programs.

Sincerely,

/s/
Michael Rossman
Regional Agreement Officer
USAID/Armenia

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SECTION A: PROGRAM DESCRIPTION

Participatory Utilization and Resource Efficiency of Water Activity

I. Introduction

The Participatory Utilization and Resource Efficiency of Water (PURE-Water) is a three-year activity that aims to increase water productivity, efficiency, and quality, as well as foster behavioral change to reduce the rate of groundwater extraction in the Ararat Valley. This goal will be accomplished through an integrated water resource management and governance/civil society approach aimed at policy input, stakeholder engagement, and behavior change fostered through small-scale pilot projects. The approach is based on the premise that the Recipient's direct engagement of governmental and non-governmental actors, as well as community members in addressing water challenges together and finding joint solutions will lead to sustainable water management.

II. Background

Armenia presents a particularly challenging development context. Challenges include a concentration of economic and political power among ruling elites, geopolitical constraints and closed borders, scarcity of natural resources, Russia's dominance in major sectors such as energy, and massive out-migration. Water scarcity and improper use impacts Armenia's economic development and threatens livelihoods, food, and energy security. Water challenges are amplified by increased competition for limited water resources in the absence of proper monitoring and science-based decision-making on allocation.

According to Yale University's 2012 Environmental Performance Index, 70% of Armenia experiences water stress. The country depends heavily on groundwater for 95% of its drinking water. Furthermore, approximately 80% of Armenia's crops are irrigated, stressing both groundwater and surface water resources. An acute and urgent situation has emerged in the Ararat Valley, Armenia's breadbasket, which provides up to 40% of the agricultural GDP, making it the largest agriculture and fish farming zone in the country, with significant strategic importance to the Armenian economy.¹ The Valley contains the largest depository of deep groundwater for drinking purposes for not only Armenia, but regionally as well, as Armenia is an upstream country.

The Ararat Valley, in particular, is affected by excessive extraction of groundwater resources, a prevalence of unpermitted well drilling, and significant groundwater waste through abandoned infrastructure. Uncontrolled expansion of fisheries and unregulated use of groundwater has

¹ Toward Integrated Water Resources Management in Armenia, World Bank Group, 2015.

resulted in a significant drop (0.6-1.8m in 2010-2013) of groundwater levels.² As the artesian area is depleted in the Ararat Valley, the number of communities using artesian wells for irrigation and domestic water supplies decreased from 44 in 1983 to 13 in 2013.³

Negative impacts are already being felt. Farmers face deficits in irrigation water, reducing productivity. Thirty-two communities currently exist with very limited access to potable and irrigation water due to reduced water in wells and discharges from springs. Over the last several years, these communities that once had access to flowing water now pump it from the ground due to water stressors that include water use for cooling the Armenian Nuclear Power Plant (ANPP) in Metsamor, the burgeoning fish farm industry, irrigation requirements of farms, and inefficient household water use. Irrigation is the overall largest consumptive user of water, although fish farms recently emerged as a major, inefficient stressor.⁴

Decreasing water availability for the cooling system of the aging ANPP presents energy and security concerns. Initially, water for both economic and technical use for ANPP was sourced from the Sevdjour River; however, as a consequence of chronic water shortages, groundwater is now being used for cooling, threatening the safe operation of the plant. Constraints around water resources raise questions around the sustainability of this practice. Furthermore, according to Armenia's recent Third National Communication to the UN Framework Convention on Climate Change, the impact of these problems may be further expedited and amplified, especially in the Ararat Valley, by global climate change.⁵

Water problems in the Ararat Valley, if not tackled adequately, will lead to greater rural poverty, lack of food security, and vulnerability. Addressing groundwater resources in the Ararat Valley is a matter of utmost urgency as expressed by the Government of Armenia (GOAM) and other stakeholders. Ultimately, the entire hydrological system of Ararat Valley must be considerably better understood and addressed to fully tackle these problems. Yet, Armenia lacks a systematic approach to water resource management.

III. Activity Goal and Objective

a. Activity Goal and Objective

The overall goal of this three-year activity is to increase water productivity, efficiency, and quality, as well as foster behavioral change to reduce the rate of groundwater extraction in the Ararat Valley. This goal will be accomplished through a program implementing an integrated water resource management and governance/civil society approach aimed at policy input,

² See Assessment Study of Groundwater Resources of the Ararat Valley, Final Report, available at: <http://cew.am/en/news/show/176>.

³ Toward Integrated Water Resources Management in Armenia, World Bank Group, 2015.

⁴ Ibid.

⁵ Republic of Armenia Third National Communication on Climate Change to the UNFCCC, May 2015, available at: <http://unfccc.int/resource/docs/natc/armnc3.pdf>

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stakeholder engagement, and behavior change fostered through small-scale infrastructure pilot projects. The activity will pursue the following specific objectives:

1. Support development of and advocacy for an enabling policy and regulatory framework for improved participatory use of water;
2. Facilitate participation and oversight of integrated water management practices in target communities to increase water resource efficiency;
3. Raise public awareness and foster water-related behavioral change among affected stakeholders; and
4. Identify small-scale infrastructure pilot projects to complement local water needs.

It is hypothesized that direct engagement of government and non-governmental actors, as well as community members in addressing water challenges together and finding joint solutions will lead to sustainable water management.

b. Linkages with USAID/Armenia’s CDCS Results Framework and other relevant USAID Policies

USAID/Armenia supports a holistic, multifaceted approach to find integrated water management solutions in response to the GOAM's call for assistance in this area. To this end, the Mission’s current strategy emphasizes a more strategic management of energy and water resources, particularly targeting the Ararat Valley. The Mission’s Science, Technology, Innovation, and Partnership (STIP) Signature Effort through the Advanced Science and Partnership for Integrated Resource Development (ASPIRED)⁶ project is designed to address the most pressing water and energy issues in Armenia, specifically focusing on technological and regulatory solutions to reduce the rate of groundwater extraction in the Ararat Valley to sustainable levels.

The Mission’s recent analyses show that the key to successful solution of the technical problem must include enhanced participation by the affected population in the planning and management of this vital resource. This is the need that this Activity aims to address, complementing the STIP Signature Effort.

The Activity supports the USAID/Armenia 2013-2017 Country Development Cooperation Strategy (CDCS) Development Objective (DO), “More inclusive and sustainable economic growth” and specifically Sub-Intermediate Result (IR) 1.1.3 “More strategic management of energy and water resources” and DO “More participatory, effective and accountable governance,” which in turn support the Strategy’s overarching goal of “a more engaged, prosperous and well-governed Armenian society.”⁷

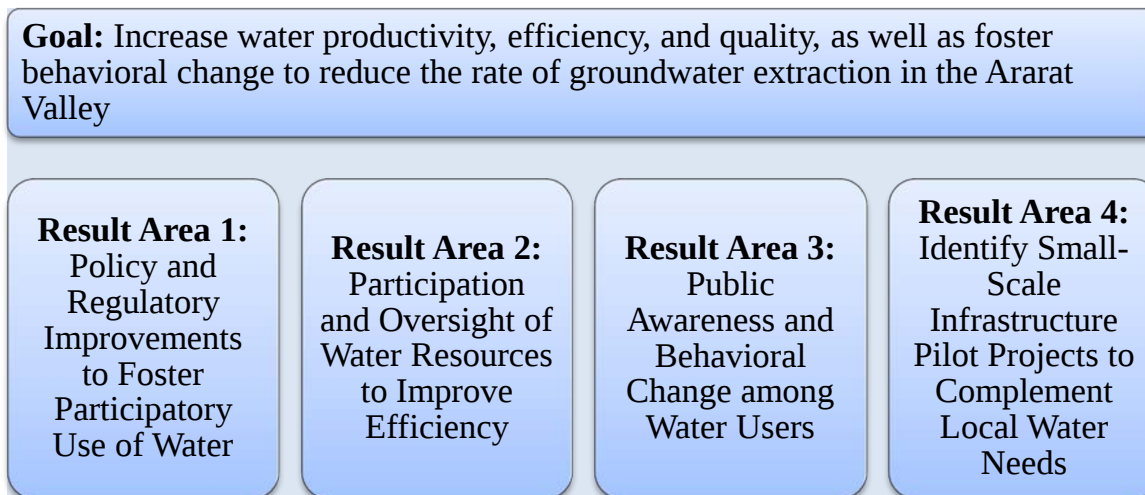
⁶ Information on USAID/Armenia’s ASPIRED can be found at: <http://www.mendezenland.com/site/index.php/projects/advanced-science-partnerships-for-integrated-resource-development>.

⁷ The USAID/Armenia CDCS can be downloaded at <http://www.usaid.gov/sites/default/files/documents/1863/Armenia-CDCS.pdf>

This program also supports numerous goals of the U.S. Government’s Integrated Country Strategy (ICS) for Armenia, specifically: help Armenia create a “resilient and energy secure economic environment which fosters sustained economic growth and provides increased opportunities for U.S. business and investment”; and assist Armenia in achieving “broad based economic growth.” Furthermore, this activity is in line with the objectives of numerous USAID agency-level strategies, including the USAID Water and Development Strategy (2013-2018), and USAID Forward’s Local Solutions initiative.⁹

c. Detailed Program Description

The program will operate according to the following Results Framework. Underlying approach and illustrative outcomes are summarized under each Result Area.



Result Area 1: Policy and Regulatory Improvements to Foster Participatory Use of Water

Both government and civil society actors recognize the dire situation in the Ararat Valley; however, a coherent plan of action to tackle the issue does not exist. Based on the Assessment Study of Groundwater Resources of the Ararat Valley, USAID/Armenia already initiated a policy dialogue with the GOAM to devise a shared roadmap to bring about necessary changes on policy and regulatory levels, as well as agree on technological solutions for improved management and access to water resources. Parallel to the Mission’s policy-level consultations with the GOAM and relevant efforts of the ASPIRED project, assistance under this objective will focus on increasing and institutionalizing civil society-government dialogue on more effective and participatory governance and use of water resources in the Ararat Valley.

⁸ The USAID Water and Development Strategy, 2013-2018 can be downloaded at http://www.usaid.gov/sites/default/files/documents/1865/USAID_Water_Strategy_3.pdf

⁹ Information on USAID Forward can be found at <http://www.usaid.gov/usaidforward>

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Assistance under Result Area 1 is expected to lead to the following outputs and outcomes:

- a. Gaps in the policy-regulatory environment identified, a shared strategy for policy-regulatory improvements developed and implemented;
- b. An action plan for improved water resource management agreed upon amongst local governments and other stakeholders;
- c. Capacity of citizen groups and water users' associations to effectively advocate for transparent decision making in water resource management improved;
- d. Constructive civil society input for improved policy-regulatory environment sought and aggregated; and
- e. A council to advise the state-run Basin Management Organization of the Ararat Valley and support participatory basin planning established and assembled.

Result Area 2: Participation in and Oversight of Water Resources to Improve Efficiency

In conjunction with addressing the policy and regulatory framework, it is also necessary to create the infrastructure and capacity for putting the improved framework into practice at the local level. USAID/Armenia STIP Signature Effort and the ASPIRED project will introduce science and technology-based water management practices, including technical assistance and support for monitoring, geo-mapping, and modeling of the Ararat Valley groundwater resources, as well as identification and application of state-of-the-art solutions for fisheries. Previously, the Mission's 2011-2015 Clean Energy and Water Project¹⁰ provided technical assistance to GOAM, including the Water Resource Management Agency of the Ministry of Nature Protection, the State Water Cadaster Information System, and the Basin Management Organization of the Ararat Valley to increase effectiveness and transparency in water resource management and permitting practices in the Valley.

This activity is expected to add value to ASPIRED by engaging closely with local stakeholders, including local governments, in the planning and management of water resources, with the goal of increasing water resource efficiency. This is critical for regulatory and technical solutions to be meaningful. This objective will focus on mobilizing affected communities to ensure organized, constructive, and inclusive participation in the oversight of Ararat basin planning, decision-making, monitoring, management practices, and efficient use of water in their communities.

Assistance under Result Area 2 is expected to lead to the following outputs and outcomes:

- a. Public oversight mechanisms developed in collaboration with ASPIRED, including:

¹⁰ Information on USAID/Armenia's Clean Energy Water Program can be found at www.cew.am.

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- i. Consumer feedback tools using information communications technologies (ICTs), for example mobile solutions, linked to the geo-mapping of the Ararat Valley groundwater resources; and
 - ii. Community monitoring schemes for water quality and efficient use, based on technologies introduced by STIP.
- b. Community-based groups trained in the use of public oversight mechanisms to monitor water quality and quantity, usage, and basin planning and management through targeted capacity building activities and small sub-grants;
- c. Local governments in affected communities assisted to ensure compliance of the local users with the updated regulatory framework; transparency and public access to water-related information provided; and community members in water-related decision-making engaged (e.g. inclusive participation and oversight of water planning and permitting processes); and
- d. Water user associations, public utility entities, and interested community organizations trained and mobilized in public oversight efforts through small targeted capacity building activities and sub-grants.

Result Area 3: Raise Public Awareness and Foster Behavioral Change among Water Users

Sensitizing the Armenian public at large to the water scarcity issue in Armenia and in the Ararat Valley in particular is essential for ensuring sustained public demand for access to water-related information and public participation in water-related decision-making, water resource allocation, and monitoring. Likewise, changing local government, farm-level, and individual/household-level water-related behaviors is essential for ensuring long-term ownership of practices. This objective will focus on broad public education and a tailored stakeholder intervention for behavioral change.

Assistance under Result Area 3 is expected to lead to the following outputs and outcomes:

- a. Broad public awareness and education campaigns on water rights and responsibilities undertaken, such as:
 - i. Common messaging regarding water resource quality and use developed in collaboration with the government and other public stakeholders;
 - ii. Public awareness campaigns using a mix of integrated marketing communication tools developed and implemented; and
 - iii. Baseline and follow-up consumer and stakeholder surveys on water quality, use, and responsibilities conducted.
- b. Tailored stakeholder behavioral change interventions implemented, such as:
 - i. Stakeholder mapping, assessment, and analysis conducted to gain an explicit understanding of the behaviors and motivations and capabilities of different stakeholders involved; and

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- ii. Tailored outreach and strategic communication campaigns developed and implemented, targeting different stakeholder groups based on the stakeholder analysis, including:
 - 1) Adoption of new technologies promoted through exposure and training (e.g. trainings for farmers on applying state-of-the-art solutions for fisheries that the ASPIRED project will introduce, as well as water conservation solutions to be piloted under Result Area 4 below); and
 - 2) Improved household efficient use of and attention to the quality of water resources, such as those impacting health and nutrition, through community outreach groups, training, and social marketing tools, highlighting linkages to improved livelihoods.

Result Area 4: Identify Small-Scale Infrastructure Pilots to Complement Local Water Needs

In coordination with the ASPIRED Project, this program seeks to engage local communities in planning and preparing small-scale water infrastructure projects for implementation by USAID funding and/or through leverage from the private sector, other donors, and financial institutions. Towards this end, PURE will identify and develop initial sketches and estimates for small-scale infrastructure pilots that will be separately carried out through design and construction works under ASPIRED. Communities will be selected based, in part, upon identified water needs established through site visits and interviews, coordination with local community associations, and the ability and willingness of the interested parties to provide cost-sharing for pilot projects. Examples of projects may include new or improved and more efficient water distribution infrastructure; community-scale water distribution and sanitation infrastructure; and/or water efficiency, conservation, and productivity improvements. A key aspect of this support is that communities will be active participants in the planning and preparation efforts. Likewise, interventions will be selected to target community needs. By the end of Year 1, PURE will provide the ASPIRED Project a list of at least five contractable projects, including draft estimates, sketches, etc. ASPIRED will initiate design and construction works based on the provided list, with a total estimated amount of USD 300,000.

Assistance under Result Area 4 is expected to lead to the following outputs and outcomes:

- a. At least five pilot projects, leading to increased and sustained community water access, identified and submitted to ASPIRED;
- b. Enhanced capacity of community-based organizations to play a significant role in water use management, with particular sensitivity to the role of women and marginalized populations;
- c. Local capacities strengthened to engage in project design and development; and
- d. Partnerships in support of sustainable water use formed/leveraged.

d. Operating Principles and Cross-Cutting Issues

Synergies with other USAID Activities – USAID/Armenia’s CDCS is built on a holistic and integrated approach. It is, therefore, USAID/Armenia’s intention to consider funding applications that will work in close cooperation with other USAID activities across sectors and, in particular, with the ASPIRED project and other activities under the STIP portfolio. It is expected that Applicants clearly demonstrate how synergies and linkages with other USAID activities will be ensured (See Section V. below for more details).

Partnerships – USAID/Armenia prioritizes forging partners as a means to building a legacy and ensuring sustainability of development interventions. Proposed activities are encouraged to consider strategic partnership that will help leverage funds, bring new expertise and/or introduce third-party ownership of activities.

Youth – USAID/Armenia pays special attention to youth as drivers of change, future leaders within society and entrepreneurs within the workforce. It is important to address and cultivate this growing potential within the context of the proposed interventions.

Gender Considerations – More inclusive and sustainable economic growth reduces gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services. Empowering women to participate in and lead public and private institutions and processes make them more representative and effective. It is anticipated that: (1) the Activity will pay special attention to increasing the involvement of women and youth in the monitoring, oversight, and decision-making processes; (2) both men and women will be included to the greatest extent possible in all aspects of the Activity’s implementation, including participation in policy dialogue, working groups, training, and other activities, and (3) it will assess and mitigate any inequalities for men and women in terms of access and control of water resources.

IV. Target Communities

Applicants are expected to propose and justify the target communities for the Activity’s interventions. It is expected that these will include communities that are deemed priorities for engagement under ASPIRED to ensure a synergized approach. Policy work will concentrate on local level regulation and implementation, which will have implications for national-level policy making. Public education and awareness will have a nationwide coverage, while community-based behavioral change campaigns and identified small-scale infrastructure pilot projects, to be implemented through USAID’s ASPIRED Activity, will be carried out in target communities.

V. Coordination with Key Stakeholders and Other Implementers

This Activity will complement other USAID activities, and will take those into consideration for planning purposes. USAID/Armenia Mission efforts in this area currently include policy conditionalities with the GOAM related to water usage fees in the Ararat Valley and water data

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transparency. Further, the ASPIRED project and broader STIP portfolio focus on water and energy management amongst fish farmers. The Applicant is expected to clearly outline the plan and mechanisms of coordination with USAID's ASPIRED activity, including the process of identification and initial preparation for small-scale infrastructure pilot projects. Particular attention will be paid to the proposed coordination plan in relation to those expected outcomes that are contingent upon ASPIRED activities in the field.

The Activity described herein will directly complement the STIP Signature effort. As such, the Applicant is encouraged to coordinate with and use the tools and approaches of the USAID Global Development Lab as part of the technical approach. These may include a Prize competition to crowd-source innovative technologies and approaches; utilization of resources of the USAID GeoCenter to assist in collection and analysis of mapping and GIS data to support decision-making and planning; use of new data and modeling tools derived from the ongoing interagency agreement with the U.S. Geological Survey; and use of (or partnership with) the Partnerships for Enhanced Engagement in Research (PEER) research grant awardee, the International Center for Agribusiness Research and Education (ICARE), focused on water resource management in the Ararat Valley. Additional information about the Lab and how it approaches development problems can be found on the Bureau's public website: <http://www.usaid.gov/GlobalDevLab>.

VI. Branding and Marking

The apparently successful recipient will be required to implement a branding and marking plan proposing co-branding and co-marking for program activities. The Activity is required to adhere to branding policies and marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, "From the American people" on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy and Marking Plan that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. The Branding Strategy will be negotiated and finalized as part of assistance award. ADS 320 may be found at the following website: <http://www.usaid.gov/policy/ads/300/320.pdf>

Specific communications and promotion measures shall be described in the "Branding Strategy" and "Branding Implementation Plan" and specific marking will be described in the "Marking Plan" for this award. Please also refer to Section VI, Standard Provisions: "Branding Strategy - Assistance (June 2012)" and "Marking Plan- Assistance (June 2012)."

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide up to \$1,050,000.00 in total USAID funding over one year period. The ceiling for this program is \$1,050,000.00. Actual funding amounts are subject to availability of funds.

USAID intends to award one (1) Cooperative Agreement pursuant to this Notice of Funding Opportunity.

USAID reserves the right to reject the application received in response to this NFO.

2. Start Date and Period of Performance for Federal Award

The period of performance anticipated herein is for three (3) years. The estimated start date will be upon the signature of the award, on or about.

3. Substantial Involvement

Substantial involvement under this award shall include the following:

- a. Approval of the Recipient's Implementation Plans
 - a. Review and approval of the Recipient's Annual Implementation Plans (Work Plans), including Monitoring and Evaluation (M&E) Plan, by the AOR. Any significant changes to the approved Implementation Plan or the M&E Plan will require additional approval of the AOR.
- b. Approval of Specified Key Personnel
 - b. Review and approval of key personnel and any key personnel changes by the AOR.

4. Title to Property

Property title under the resultant agreement shall vest with the Recipient.

5. Authorized Geographic Code

The geographic code for this program is 937, 110.

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

The eligibility requirement is restricted to Local (Armenian) organizations and apply only to the principal/prime Applicant but not to a sub-awardee.

Only a local organization as defined below is eligible for award. USAID defines a local organization as one that:

Is organized under the laws of the recipient country;

Has its principal place of business in Armenia;

Is majority-owned by individuals who are citizens or lawful permanent residents of the recipient country or is managed by the governing body, the majority of whose members are citizens or lawful permanent residents of Armenia, and

Is not controlled by a foreign an entity or by an individual or individuals who are not citizens or permanent residents of Armenia.

The term “control” or controlled by” in the above definition means having a majority ownership or beneficially interest, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law. The term “Foreign Entity” means an organization that fail to meet any part of the “local organization” definition.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

USAID will not accept applications from individuals.

2. Eligibility Documents

Subject to the conditions for eligibility provided above, Applicants will submit official documentation of its organization’s formal legal status, as follows:

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- State registration certificate and;
- By-laws.

3. Cost Sharing or Matching

USAID has established a minimum of 5 percent of the total proposed budget as a cost-share from non-U.S. Government funding for the recipient of the award. Such funds may be mobilized from the recipient, other multilateral, bilateral, and foundation donors, host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements see ADS 303.3.10.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Narine Sarkisian
Acquisition and Assistance Specialist
Office of Acquisition and Assistance
USAID/Armenia
1-st American Avenue
Yerevan 0082 Armenia
Tel: 37410 49-43-64
Email: nsarkisian@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to by email addressed to Narine Sarkisian, Acquisition and Assistance Specialist, at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Senior Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov with subject line: “Participatory Utilization and Resource Efficiency of Water Activity, RFA-111-16-000004”. The deadline for submission of questions/clarifications is shown on the cover page.

2. Content and Form of Application Submission

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

If the application includes data that should not be disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, Applicants should mark the title page with the following legend:

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wished to restrict with the following legend:

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

this application.”

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

3. Application Submission Procedures

It is Applicants’ responsibility to ensure that all necessary documentation is complete and received on time.

Applications must be submitted in electronic form. Hard copies are not required but may be submitted in addition to electronic copies. Applications must be submitted to the attention of Narine Sarkisian, Acquisition and Assistance Specialist, USAID/Armenia at nsarkisian@usaid.gov and copy Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2". The total size of each e-mail attachment should not exceed 3 MBs.

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. The application received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your application electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

The receipt of application will be confirmed within two days. If not, please contact Narine Sarkisian at nsarkisian@usaid.gov and Armen Yeghiazarian, Acquisition and Assistance Specialist, at ayeghiazarian@usaid.gov.

4. Technical Application Format

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The application should take into account the

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requirements of the program and evaluation criteria found in this NFO. Applications must be submitted no later than the date and time indicated on the cover page of this RFA.

The Technical Application should be in English in MS Word format and in PDF, single spaced, utilizing Times New Roman 12-font size. The Technical Application should **not exceed 20 pages**. The cover page, dividers, table of contents, acronyms list, and annexes are not included in the page limit of 20 pages. Annexes do not have page limitations; however, number of pages should be reasonable and include only minimum of necessary information.

Cover Page

The cover page should include the following information:

- USAID RFA Number;
- Program Title;
- Name of the organization(s) submitting the application;
- Point of contact with the authority to negotiate and sign on behalf of the Applicant, including title, address, telephone and fax numbers and e-mail address.

Technical Approach

Please provide a concise and clear description of the Applicant's proposed program, including description of:

- Specific development context, including relevant background information and an analysis of the problem, as well as risks and opportunities in the proposed area of intervention;
- Proposed course of action to achieve the project objectives and anticipated results; including:
 - A demonstration of how activities respond to identified needs in water management;
 - Description of the types and numbers of target communities to benefit from the activity, including the plan and criteria for selecting target communities, the plan and criteria for identifying small-scale pilot infrastructure projects, including the proposed number of such projects; and
 - Proposed life of project implementation plan (in matrix format) that outlines the timeline for phasing of interventions and outlines inputs, outputs, and outcomes per year that are realistic and achievable within the proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of the proposed approach.
 - Analysis of feasibility of the proposed program.
- Mechanisms identified to ensure strategic and synergetic linkages and coordination between the prime and subawardees, if any, with key local stakeholders, other relevant USAID-funded programs, as well as projects funded by other donors and implemented by other international and domestic organizations.

Cross-Cutting Issues

This section will include a description of the proposed approaches and mechanism to address strategic development principles, including programmatic sustainability; as well as cross-cutting issues, including youth, gender, and environmental considerations and other operating principles outlined in the *Operating Principles and Cross-Cutting Issues* Section of the RFA during program implementation.

Management Approach and Staffing Plan

This section will include a description of the composition and organizational structure of the Applicant's proposed implementation team, with the Applicant's key personnel positions identified and an organigram outlining the roles and responsibilities of all staff involved. Position descriptions (including roles and responsibilities), relevant experience and academic and professional qualifications shall be provided for all key personnel. If applicable, the section should also include a description of any teaming arrangement, partnership, consortium or coalition arrangements between applicant and partner organizations.

Monitoring and Evaluation Plan

This section will include an illustrative monitoring and evaluation (M&E) plan for expected intermediate and final activity results, including a plan for collecting base-line and follow-on data; suggested indicators of program success; methods to be used for monitoring activities and collecting indicator results (sources, frequency of data collection and reporting, including a plan for collecting baseline and follow-on data), and a mechanism for oversight and verification of monitoring conducted by staff.

Annexes

Items such as key personnel resumes, case studies, table summarizing qualifications of proposed personnel, will not be counted against the page limitation.

5. Cost Application Format

Applicants must sign and submit the cost application standard form number SF-424 and SF-424A. Standard Forms can be accessed electronically at www.grants.gov.

The Cost or Business application is to be submitted under a separate cover from the Technical application. The Cost/Business application is also to be submitted in Microsoft Excel 2010.

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

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1. The budget with a breakdown of all costs must have an accompanying detailed budget narrative (in Word 2010) and justification that provides in detail the total program amount for implementation of the program. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).

2. The budget must be submitted using Standard Form 424 which can be downloaded from the following web site at: <http://apply07.grants.gov/apply/FormLinks?family=15>

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

3. The Applicant who intends to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The budget must also include:

- b) Potential contributions of non-USAID or private commercial donors to this program;
- c) The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- d) The name (if identified), annual salary, and expected level of effort of each candidate named (or TBD) and charged to the activity. Provide annual salary history information for at least the three most recent years for all identified and proposed long-/short-term key and non-key personnel;
- e) All equipment proposed to be purchased;
- f) All travel related costs;
- g) USAID branding and marking estimated costs;
- h) Financial plans for all proposed sub-grants which must have the same format and level of detail as those of the Applicant;

Cost Share: It is required that a minimum of 5 percent of the proposed budget will be generated as a cost-share from non-USAID or private commercial donors to support the proposed program. The cost share may be a combination of cash and in-kind. Applicants should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources

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of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Cooperative Agreement.

Applicants must demonstrate ability to raise the match proposed. Actual and/or expected sources and amounts of the cost-share amount from all sources (other donors, community members, businesses, etc.) must be stipulated. Funds received by Applicants directly from the U.S. Government or USAID intermediaries or foreign governments are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the organization's accounts and in-kind contributions of goods and services and other contributions not recorded in the organization's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-U.S. federal contributions are set forth in 22 CFR 226. (Copies of 22 CFR 226 may be obtained from Internet address <http://www.gpo.gov/fdsys/granule/CFR-2012-title22-vol1/CFR-2012-title22-vol1-part226/content-detail.html>

or

<http://www.law.cornell.edu/cfr/text/22/226>

The business section of the cost/business application should also include:

Required Certifications

1. Required assurances, certifications and representations (see the Annex 1 of this NFO).
2. Potential Request for Additional Documentation
Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility.

Data Universal Numbering System (DUNS) Number and System for Award Management (SAM)

Applicants may not submit applications under this RFA without DUNS numbers. All U.S. Government recipients are required to secure a Data Universal Numbering System (DUNS) Number before an award can be made to them. The DUNS is a 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) that uniquely identify the recipient's name and address.

Applicants should register in the System for Award Management (SAM) by visiting the following site www.sam.gov and obtain a Data Universal Numbering System (DUNS) Number from Dun and Bradstreet (D&B) by using the online web form (<http://fedgov.dnb.com/webform>) process, and North Atlantic Treaty Organization (NATO) CAGE (NCAGE) code.

Or: Applicants can obtain DUNS # during registration in www.sam.gov; for NCAGE code please complete the registration at http://www.dlis.dla.mil/Forms/Form_AC135.asp.

Use the NCAGE online form http://www.dlis.dla.mil/Forms/Form_AC135.asp to obtain an NCAGE. In block 2 of the form, select "Other" if your country is not listed. If the form cannot be submitted via internet, or you have any questions about this form or have problems with it, call +9269 9617766 (DSN 661-5757) or send a message to NCAGE@dla.mil.

Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until Applicants have complied with all applicable unique entity identifier and SAM requirements. Applicants are required to:

- (i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient;
- (ii) Provide a valid DUNS number in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

It is Applicants' responsibility to ensure that all necessary documentation is complete and received on time.

6. Funding Restrictions

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

SECTION E: APPLICATION REVIEW INFORMATION

MERIT REVIEW

Merit Review Criteria

A. Technical Application

The criteria set forth below will be used by the technical review panel to evaluate all applications submitted in response to this RFA. All criteria are weighted equally.

1. **Technical Approach:** Extent to which the Applicant's program description sets forth a clear and technically sound course of action to achieve the project objectives and anticipated results; including but not limited to demonstration of how activities respond to identified needs in water management, the plan for selecting target communities, the plan for identifying small-scale pilot infrastructure projects, including the proposed number of such projects, and the feasibility of the proposed program; and mechanisms identified to ensure strategic and synergetic linkages and coordination between the prime and subawardees, if any, with key local stakeholders, other relevant USAID-funded programs, as well as projects funded by other donors and implemented by other international and domestic organizations;
2. **Cross-Cutting Issues:** Extent to which the proposed technical approach will meaningfully address strategic development principles, including programmatic sustainability; as well as cross-cutting issues, including youth, gender, and environmental considerations during program implementation;
3. **Management Approach and Staffing Plan:** Appropriateness of the composition and organizational structure of the proposed implementation team, including a clear and effective staffing pattern with roles and responsibilities among different positions adequately delineated, as well as experience, expertise and performance of the key personnel in managing complex development programs, and demonstrated prior experience in working with other technical assistance programs in areas relevant to the proposed activity;
4. **Monitoring and Evaluation Plan:** Clarity and soundness of an illustrative monitoring and evaluation (M&E) plan for expected intermediate and final activity results, including a plan for collecting base-line and follow-on data; suggested indicators of program success; methods to be used for monitoring activities and collecting indicator results, and a mechanism for oversight and verification of monitoring conducted by staff.

Merit Review System

The following adjectival scoring system will be used by the panel to assess each of the technical criteria and sub-criteria and the technical application as a whole:

Outstanding — the application exceeds the fullest expectations of the Government. The Applicant has convincingly demonstrated that the evaluation requirements have been analyzed, evaluated, and should result in an outstanding, effective, efficient, and economical performance under the agreement. An assigned rating within “outstanding” indicates that, in terms of the specific factor (or sub factor), the application demonstrates an “outstanding” understanding of the factor, contains essentially no weaknesses, and exceeds the fullest expectations of the Government.

Very Good — the application demonstrates a level of effort that fully meets the evaluation’s requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial to the project. The application may or may not have any weaknesses. Fulfilling the definition of “very good” indicates that, in terms of the specific factor (or sub factor), the application demonstrates a level of effort that fully meets the evaluation’s requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial to the project.

Good — the application meets the requirements. The application may contain weaknesses and/or significant weaknesses that are correctable but no deficiencies. An assigned rating of “good” indicates that, in terms of the specific factor (or sub factor), the application demonstrates a “good” understanding of the factor. If any weaknesses and/or significant weaknesses are noted, they should not seriously affect the Applicant’s performance.

Marginal — the application demonstrates a shallow understanding of the requirements and approach and marginally meets the minimum evaluation standard. The application contains weaknesses and/or significant weaknesses and may contain deficiencies. If deficiencies exist, they may be correctable. A rating of “marginal” indicates that, in terms of the specific factor (or sub factor), the application marginally meets the standard for minimal but acceptable performance. The Applicant may complete the assigned tasks; however, there is at least a moderate risk that the Applicant will not be successful.

Unacceptable — the application fails to meet a minimum requirement or contains a major deficiency or major deficiencies. The application is incomplete, vague, incompatible, incomprehensible, or incorrect as to be unacceptable. The evaluator feels that the deficiency or deficiencies is/are uncorrectable without a major revision of the application. The assignment of a rating within the bounds of “unacceptable” indicates that in terms of the specific factor (or sub factor) the application fails to meet performance or capability standards. The specific factor to be evaluated contains deficiencies.

B. Cost Review

Review of Proposed Award Budget

USAID will review the apparently successful applicant’s budget to ensure that costs, including cost sharing, are in compliance with OMB’s and USAID’s policies. The recipient must justify in advance the proposed costs for each element of the program. If the recipient expects to earn

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program income during the award period, the schedule of the award must specifically state how the income will be applied. (The definition of program income is located in 2 CFR 200.80 and income application suggestions can be found in 2 CFR 200.307.)

When reviewing costs, the AO will review the cost breakdown; and evaluate and analyze specific elements of costs for reasonableness and allocability of costs in the budget, and the allowability of the costs under the applicable cost principles.

The review of the proposed budget helps the AO determine:

- (1) The extent of the prospective recipient's understanding of the financial aspects of the program and the recipient's ability to perform the grant activities within the amount requested;
- (2) Whether the Applicant's plans will achieve the program objectives with reasonable economy and efficiency; and
- (3) Any special conditions relating to costs that are in the award.

In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

Cost Sharing

USAID has required cost share of 5 percent of the Award's projected value for the recipient to support the activity. Leveraged non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicant's cost share contribution (e.g. categories or items) meets the standards set in 2CFR 200. For non-U.S. organizations the proposed contribution must meet the standards set in the Standard Provision "Cost Share". USAID does not apply its source and nationality requirements or the restricted goods provision established in the Standard Provision "USAID Eligibility Rules for Commodities and Services" to cost share contributions.

The cost share proposed by the partner will be evaluated for cost realism. In the award budget, cost share must be expressed as a dollar figure rather than a percentage to assist in monitoring the amount.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, the potential applicant are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

2. Administrative & National Policy Requirements

For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.

Please see ADS Sections 303.4 and 303.5.

Note: All the applicable standard provisions will be attached to the final award document.

3. Reporting Requirements.

Financial Reporting:

(1) The recipient must submit the **Federal Financial Form (SF-425)** on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FR at the same time to the Agreement Officer's Representative (AOR) and The Agreement Officer (AO).

Electronic copies of the SF-425 can be found

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

Line item instructions for completing the SF-425 can be found

at: http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf.

The recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMPLOC Unit, the Agreement Officer (AO), and the AO. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

(2) Accrued Expenditures

In addition to the Financial Expenditures Report, the Recipient shall submit the Accrued

Expenditures Report using the template provided by the USAID/Armenia Mission. The recipient shall submit this form in the following manner:

(a) The Accrued Expenditures Report must be submitted via electronic format to the respective Agreement Officer's Technical Representative (AOR).

(b) The Accrued Expenditures report should be submitted on a quarterly basis, no later than 20th of the quarter's last month.

Program Reporting Requirements:

In addition to any reports that may be requested via technical directions under program activities, the recipient shall submit the approval of the USAID Agreement Officer's Representative (AOR) following reports, and when requested, to the USAID/Armenia Agreement Officer.

1. Implementation Plan:

Within 30 days of the signing of Cooperative Agreement, the Recipient will present the initial implementation plan to the USAID AOR for review and approval. The AOR will provide written comments on the draft plan within 30 days of receipt and when the plan is finalized, the AOR will provide written approval. The implementation plan should include a list of tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the Recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets; and 5) a timeline for the implementation of the task. The work plan must include a Monitoring and Evaluation (M&E) Plan, which must establish specific results-level and objective level indicators, annual targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established.

Annual implementation plans for subsequent years are due to the AOR 60 days before the end of the preceding award year. Annual work plans should include all the sections as the initial work plan discussed above. In addition, the subsequent annual work plans shall review the activities of the year that is ending, the activities that were implemented, the results achieved, and problems that existed and how they were resolved. These subsequent annual plans shall propose program adjustments to reflect any lessons learned. As with the first implementation plan, the AOR will review the plan and provide comments and recommendations for changes no later than 30 days after receipt of the draft. The Recipient shall incorporate AOR comments and recommendations into the final version of work plan and submit it for AOR written approval within 15 days. In addition, all substantial changes in the work plan require prior written approval of the AOR.

2. Monitoring and Evaluation Plan:

The recipient must submit a Monitoring and Evaluation (M&E) Plan with the annual implementation plan; the M&E will be approved at the same time by the AOR. The recipient will

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be required to collect baseline data for all the M&E indicators during the first year of the project. The M&E should track applicable indicators from the program description, standard F indicators, and any other output and outcome indicators proposed by the recipient. The recipient must collect and submit to USAID/Armenia all applicable indicator data on a bi-annual basis, in April and October, as part of their quarterly reports. Data collected in April will cover the period from October 1 through March 31 (the first six months of the fiscal year), while data collected in October will cover the period from April 1 through September 30 (the second half of the fiscal year). The M&E Plan should be updated annually and revised as appropriate in collaboration with USAID. The updated M&E should ensure that the data effectively capture and adequately measure the expected outputs/results/impact outlined in the implementation plan. In addition, the Recipient should ensure that there is a clear link between the quarterly reports and the approved implementation plan, i.e. the expected results of the activities (M&E Plan targets) outlined in approved implementation plan are in due course reflected in the project's quarterly performance reports. To the extent possible, the M&E Plan will include methods to tracking behavior, policy, and other shifts that can be attributed to the project as opposed to some other change in conditions. The M&E Plan will elaborate the methods and assessment tools Applicants will use for collecting, monitoring, analyzing, reporting and maintain the data. The M&E Plan should disaggregate data by sex and age for all people-level indicators and monitor and assess the success of gender-mitigating activities. All costs associated with the implementation of the M&E should be reflected in the cost application.

Below is an illustrative list of key indicators; additional indicators are left to the discretion of Applicants:

- Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote improved participation in the use of water;
- Number of water users (e.g. households, crop farmers, fish farmers) experiencing improved access to and/or quality of water resources;
- Number of water users experiencing improved efficiency of water resource use;
- Number of community monitoring schemes for water developed and put to practice;
- Number of stakeholders engaged in (1) data collection activities, (2) community monitoring, and (3) advocacy;
- Number of community-based groups, water user associations, public utility entities, and community organizations trained in the use of public oversight mechanisms;
- Number of community-based groups and civil society organizations with improved capacity in (1) advocacy, (2) participation in decision-making processes, and (3) monitoring;
- Number of local governments that have adopted the updated regulatory framework; and
- Number of small-scale infrastructure pilot projects implemented that improve water access.

3. Quarterly Progress Reports:

The Recipient will submit three quarterly and one annual progress reports per year to the AOR. The Recipient shall submit progress reports which present activities and analyses of the Recipient (and partners, if relevant) within 30 days after the end of the quarter/year.

The report may be submitted by email and shall contain the following information at a minimum:

1. A brief description of the context and/or enabling environment in which program activities are implemented. This section may include significant political developments and/or relevant events which affect the overall implementation environment.
2. A summary of activities conducted, including a description of progress towards results and relevant trends.
3. A narrative analytical description of overall program progress towards results that reflects and synthesizes achievements of the Recipient and partners, if applicable. This should not be a mere description of activities, but rather a broader analysis that examines the implications of progress made toward each objective, as well as toward the operating principles and cross-cutting issues identified in this RFA. Special emphasis should be made to evaluate and elaborate upon progress toward achieving sustainability of results.
4. Data on all indicators established in the M&E Plan for the award activities. Data should be disaggregated by sex and age, where relevant.
5. Problems encountered, reasons why established goals and targets were not met, if appropriate, and how challenges or problems will be overcome during the next reporting period.
6. A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, cost savings, and any other pertinent information.
7. Priorities for programming during the next reporting period.
8. A calendar of planned events for the upcoming months. USAID will post events on the Mission's events calendar, as appropriate, and use the monthly calendar to plan site visits in a timely manner.

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Annual progress reports will also include data collected to measure progress against the M&E Plan. Each annual progress report will take the place of the quarterly report for the previous three-month period, in addition to reporting on the entire past year. The annual report will include progress against annual work plan projections and will cover activities completed during the preceding year. The annual report will provide USAID *annual* data on the agreed upon performance indicators, as well as any additional qualitative results information the Recipient would like to include to demonstrate the results achieved toward the project's objectives during that particular reporting period.

4. Final Report:

The Recipient is required to submit a final report within 90 calendar days after the estimated completion date of the Award. The Recipient shall submit one copy of a Final Report to the USAID AOR and one copy to the Agreement Officer. In addition, one copy shall be submitted to:

USAID Development Experience Clearinghouse (DEC)

Online (preferred): <http://dec.usaid.gov>

Mailing address:

Development Experience Clearinghouse

M/CIO/KM

RRB M.01

U.S. Agency for International Development

Washington DC 20523

The Final Report shall contain the following information as described in 22 CFR 226.51(d), covering the full period of the Award: an executive summary of the accomplishments and results achieved; an overall description of the activities and accomplishments; a summary of problems/obstacles encountered during implementation; success stories; an assessment of the performance in accomplishing the project's objectives; significance of these activities; findings; comments and recommendations; other pertinent information.

This report should eliminate politically sensitive or proprietary information.

Reports should incorporate as many graphics (maps, photos, charts, etc.) as possible and should include all project and evaluation tools and materials, in annex.

Program Income

If program income is anticipated to be generated under the award, for non-U.S. organizations it will be treated in accordance with the Standard Provision "Program Income."

Branding & Marking

The apparently successful recipient will be required to implement a branding and marking plan proposing co-branding and co-marking for program activities. The Activity is required to adhere to branding policies and marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy and Marking Plan that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. The Branding Strategy will be negotiated and finalized as part of assistance award. ADS 320 may be found at the following website: <http://www.usaid.gov/policy/ads/300/320.pdf>

Specific communications and promotion measures shall be described in the “Branding Strategy” and “Branding Implementation Plan” and specific marking will be described in the “Marking Plan” for this award. Please also refer to Section VI, Standard Provisions: “Branding Strategy - Assistance (June 2012)” and “Marking Plan- Assistance (June 2012).”

Environmental Compliance

This activity consists of interventions within the categories listed in paragraph (c)(2) “Categorical Exclusions” and “Negative Determination with Conditions” recommended per 216.3(a)(2)(iii) of 22 CFR Part 216.

For Result Areas 1, 2, 3

The Initial Environmental Examination (IEE) # DCN: 2016-ARM-001 has determined that the activities under Result Areas 1, 2, 3 are categorically excluded from any further environmental review requirements.

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

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1b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under the award resulting from this RFA will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

4a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer’s Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

4b) If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

For Result Area 4

The Initial Environmental Examination (IEE) # DCN: 2016-ARM-001 has determined that that a Negative Determination with conditions applies to the proposed activities under Result Area 4.

Includes: 1a) through 1c) of the Environmental Compliance Section above.

2) An Initial Environmental Examination (IEE) IEE # DCN: 2016-ARM-001 has been approved for the program funding this RFA. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities – Results Area 4. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

Includes: 4a) through 4c) of the Environmental Compliance Section above.

5a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

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5b) Integrate a completed EMMP or M&M Plan into the initial Work Plan.

5c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

See Section D, Paragraph 1. Agency Point of Contact

SECTION H: OTHER INFORMATION

Suggested Reading List and References for Applicants

- [General Information about ASPIRED Project](#)
- [USAID/Armenia Country Development Cooperation Strategy for FY 2013-2017, August 2013](#)
- [Ararat Groundwater Assessment Study – Final Report](#)
- [Armenia: Towards Integrated Water Resources Management, World Bank, 2015](#)

USAID reserves the right to fund any or none of the applications submitted.

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ANNEX 1: Certification, Assurances, Other Statements of the Recipient

The Certification, Assurances, Other Statements of the Recipient are available at
<http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

For full application submission, Applicants must submit:

- Part I – Certifications and Assurances
- Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking
- Part III – Participant Certification Narcotics Offenses and Drug Trafficking
- Part IV – Other Statements of Recipient

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

2. Certification Regarding Lobbying

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification -

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal

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substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

(i) “Training” means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) “Expert advice or assistance” means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds \$500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

Intermediary Service Organizations for Civil Society Development Activity

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision "Trafficking in Persons" and is in compliance with that plan;
2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and
3. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

6. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

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

Request for Application or
Annual Program Statement No. _____
Application No. _____
Date of Application _____
Name of Recipient _____
Type Name and Title _____
Signature _____
Date _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

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

Part IV – Other Statements of Recipient

1. Authorized Individuals

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

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

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

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

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

(c) Recipients located outside the United States may email Dun and Bradstreet at **globalinfo@dbisma.com** to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. Letter of Credit (LOC) Number

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. Procurement Information

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

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

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic) _____

QUANTITY _____

ESTIMATED UNIT COST _____

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory

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practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED GOODS _____
 PROBABLE GOODS _____
 PROBABLE (Generic) _____
 UNIT COST _____
 SOURCE _____

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

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

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

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

6. Past Performance References

On a continuation page, please provide past performance information requested in the RFA.

7. Type of Organization

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

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

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

8. Estimated Costs of Communications Products

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

US Agency for International Development (USAID)
USAID/Armenia
Initial Environmental Examination (IEE)

Program/Project/Activity Data

Activity/Project Name:	Participatory Utilization and Resource Efficiency of Water (PURE-Water)	
Assistance Objective:	Investing in People; Governing Justly and Democratically	
Program Area:	Health (A11); Civil Society (A10)	
Country(ies) and/or Operating Unit:	Armenia/E&E	
Originating Office:	Democracy, Health and Social Reform Office	Date: January 11, 2016
PAD Level IEE: Yes ☐ No ☒	DCN of Original RCE/IEE:	N/A
Supplemental IEE: Yes ☒ No ☐	DCN of Amendment(s):	
RCE/IEE Amendment: Yes ☐ No ☒		
If Yes, Purpose of Amendment (AMD):		
DCN(s) of All Related EA/IEE/RCE/ER(s):	DCN: 2015-ARM-010 DCN: 2014_ARM-006 DCN: 2014-ARM-001	
Implementation Start/End:		LOP: FY2016-FY2019
Funding Amount:		LOP Amount: \$1,050,000
Contract/Award Number (if known):	TBD	
Recommended Environmental Determination:		
Categorical Exclusion: ☒	Positive Determination: ☐	
Negative Determination: ☒	Deferral: ☐	
Additional Elements:		
Conditions: ☒	Local Procurement: ☒	
Government to Government: ☐	Donor Co-Funded: ☐	
Sustainability Analysis (included): ☒	Climate Change Vulnerability Analysis (included): ☐	

1. Background and Project Description

1.1. Purpose and Scope of IEE: The purpose of this Activity level IEE is to analyze potential environmental impacts and to recommend environmental determination for PURE-Water (Activity) to increase water productivity, efficiency, and quality, as well as foster behavioral change to reduce the rate of groundwater extraction in the Ararat Valley. The budget for this IEE is \$1,050,000, i.e. the total estimated cost of the Activity.

The proposed Activity consists of technical assistance, trainings, advocacy and communication campaigns, and small-scale pilot projects.

1.2. Project Overview**Background**

Armenia presents a particularly challenging development context. Challenges include a concentration of economic and political power among ruling elites, geopolitical constraints and closed borders, scarcity of natural resources, Russia's dominance in major sectors such as energy, and massive out-migration. Water scarcity and improper use impacts Armenia's economic development and threatens livelihoods, food, and energy security.

Armenia depends heavily on groundwater for 95% of its drinking water. Furthermore, approximately 80% of Armenia's crops are irrigated, stressing both groundwater and surface water resources. An acute and urgent situation has emerged in the Ararat Valley, Armenia's breadbasket, which provides up to 40% of the agricultural GDP and contains the largest depository of deep groundwater for drinking purposes for not only Armenia, but regionally as well. Water challenges are amplified by increased competition for limited water resources in the absence of proper monitoring and science-based decision-making on allocation. Uncontrolled expansion of fisheries and unregulated use of groundwater has resulted in a significant drop (0.6-1.8m in 2010-2013) of groundwater levels.¹ At the Activity implementation level, this could be used as an indicator level, i.e. sustainable water use could be determined by the restoration of ground water to previous levels and pressures. As the artesian area is depleted in the Ararat Valley, the number of communities using artesian wells for irrigation and domestic water supplies decreased from 44 in 1983 to 13 in 2013.² Negative impacts are already felt. Farmers face deficits in irrigation water, reducing productivity. Thirty-two communities currently exist with very limited access to potable and irrigation water due to reduced water in wells and discharges from springs.

Addressing groundwater resources in the Ararat Valley is a matter of utmost urgency as expressed by the Government of Armenia (GOAM) and other stakeholders. Ultimately, the entire hydrological system of Ararat Valley must be considerably better understood and addressed to fully tackle these problems. Yet, Armenia lacks a systematic approach to water resource management. Water problems in the Ararat Valley, if not tackled adequately, will lead to greater rural poverty, lack of food security, and vulnerability.

USAID/Armenia supports a holistic, multifaceted approach to find integrated water management solutions in response to the GOAM's call for assistance in this area. To this end, the Mission's current strategy emphasizes a more strategic management of energy and water resources, particularly targeting the Ararat Valley. The Mission's Science, Technology, Innovation, and Partnership (STIP) Signature Effort through the Advanced Science and Partnership for Integrated Resource Development (ASPIRED) project is designed to address the most pressing water and energy issues in Armenia, specifically focusing on technological and regulatory solutions to reduce the rate of groundwater extraction in the Ararat Valley to sustainable levels. The Mission's recent analyses show that the key to successful solution of the technical problem must include enhanced participation by the affected population in the planning and management of this vital resource. This is the need that this Activity aims to address, complementing the STIP Signature Effort.

1.3. Project Description

PURE is a three-year activity that aims to increase water productivity, efficiency, and quality, as well as foster behavioral change to reduce the rate of groundwater extraction in the Ararat Valley. This goal will be accomplished through an integrated water resource management and governance/civil society approach aimed at policy input, stakeholder engagement, and behavior change. The proposed approach is based on the premise that direct engagement of government and non-governmental actors, as well as

¹ See Assessment Study of Groundwater Resources of the Ararat Valley, Final Report, available at: <http://cew.am/en/news/show/176>.

² Toward Integrated Water Resources Management in Armenia, World Bank Group, 2015.

community members in addressing water challenges together and finding joint solutions will lead to sustainable water management.

The Activity targets the following Objectives:

1. Pursue policy and regulatory improvements to foster participatory use of water

Both government and civil society actors recognize the dire situation in the Ararat Valley; however, a coherent plan of action to tackle the issue does not exist. Based on the analysis in of the Assessment Study of Groundwater Resources of the Ararat Valley, USAID/Armenia already initiated a policy dialogue with the GOAM, including all the relevant Ministries, to devise a shared roadmap to bring about necessary changes on policy and regulatory levels, as well as agree on technological solutions for improved management and access to water resources. Within the ASPIRED project, a task force/working group has already been created with the participation of relevant ministries with the goal of coming to a common ground and compromise on the roadmap. Parallel to the Mission's policy-level consultations with the GOAM, this objective focuses on increasing and institutionalizing civil society-government dialogue on more effective and participatory governance and use of water resources in the Ararat Valley.

2. Ensure participation in and oversight of water resources to improve efficiency

In conjunction with addressing the policy and regulatory framework, it is also necessary to create the infrastructure and capacity for putting the improved framework into practice at the local level. This Activity is expected to add value to the STIP Signature Effort by engaging closely with local stakeholders including local governments in the planning and management of water resources, with the goal of increasing water resource efficiency. This is critical for regulatory and technical solutions to be meaningful. This objective will focus on mobilizing affected communities to ensure organized, constructive, and inclusive participation in the oversight of Ararat basin planning, decision-making, monitoring, management practices, and efficient use of water in their communities. In parallel, small-scale infrastructure rehabilitation projects, as described under Objective 4, will be constructed through grants.

3. Raise public awareness and foster behavioral change among water users

Sensitizing the Armenian public at large to the water scarcity issue in Armenia and in the Ararat Valley in particular is essential for ensuring sustained public demand for access to water-related information and public participation in water-related decision-making, water resource allocation, and monitoring. Likewise, changing local government, farm-level, and individual/household-level water-related behaviors is essential for ensuring long-term ownership of practices. This objective will focus on a tailored stakeholder intervention for behavioral change. This Activity will have a heavy focus on public education and stakeholder outreach, including tailored outreach on the need to pay for water services. The tailored education/communication messaging will be developed based on the analysis of the need/scenarios on the ground, including the water companies' ability to collect enough money for water services.

4. Complement water needs with small-scale infrastructure pilots.

In coordination with the ASPIRED project, PURE seeks to engage local communities in planning and preparing water projects for implementation by USAID and/ or through leverage from the private sector, other donors, and financial institutions. Communities will be selected based in part upon identified water needs established through site visits and interviews, coordination with local community associations, and the ability and willingness of the interested parties to provide cost-sharing for projects. Example projects may include new or improved and more efficient water distribution infrastructure; community scale and

sanitation infrastructure; or water efficiency, conservation, and productivity improvements. A key aspect of this support is that communities will be active participants in the planning and preparation efforts, and interventions will be selected to target community needs. While there is no current master plan for the Ararat Valley, these small-scale infrastructure projects will pilot rehabilitation solutions for water systems serving up to 2,000 people. All these projects will provide EMMPs.

2. Baseline Environmental Information

2.1 Locations Affected and Environmental Context

General Baseline Data:

Agriculture is important to the Armenian economy (25% in 2013) and 40% of the country's production comes from the Ararat Valley, which is home to 18% of the country's population. Over the last several years, water stressors that include the cooling of the Metsamor Nuclear Power Plant, the burgeoning fish farm industry, and irrigation requirements of farms have lowered the water table to the point where 32 communities that had access to flowing water now pump it from the ground, which is an energy intensive process. Irrigation is the overall largest consumptive user of water, though fish farms have emerged as a major, inefficient stressor.³ Water shortages threaten the safe operation of the Metsamor Nuclear Power Plant (ANPP), which recently started pumping groundwater for cooling; initially water for both economic and technical use was sourced from the Sevdjour River. Constraints around water resources raise questions around the sustainability of this practice.

Sector Specific Baseline Data:

Water: Armenia lacks a systematic and strategic approach to water management, which hinders national capability to address the issues of water scarcity, availability of water resources and climate change mitigation and adaptation. The country has embarked on an unsustainable development path due to inefficient water resource management. The key problems are:

- Challenges with getting responsible government ministries to come to compromise on a common plan;
- Lack of planning and knowledge for efficient water allocation;
- Illegal water uses combined with electricity losses;
- Low fees for water use;
- Water losses approaching 85% through leaking pipes; and
- Wasteful practices, and use inefficiencies in agriculture, energy and industry.

Increasing water, energy, agricultural and economic insecurity create conflicts for a variety of users across the country and damage the environment. Problems are most acute in the Ararat Valley, which is the country's largest repository of high-quality deep groundwater resources. The country lacks scientific and analytical capacity for sustainable water resource management, which is critical to addressing scarcity.

While ASPIRED project targets all these issues, the specific goal of PURE is to support ASPIRED on community-level engagement and advocacy on the proposed regulatory changes. For example, ASPIRED jointly with US Geological survey will be looking closely whether water leaves or stays in the ground water basin, while this Activity will be communicating results to the communities.

Public Accountability and Civil Society-Government Dynamic: Institutions established to play a watchdog role in corruption remain shallow with inadequate enforcement capacity. Citizens and the government alike have clear incentives for mitigating corruption and improving the transparency and efficiency of public services. Research conducted by Caucasus Research

³ Toward Integrated Water Resources Management in Armenia, World Bank Group, 2015

Resource Center concludes that there is a lack of mutual trust between government and CSOs. According to the study, CSOs believe that the government marginalizes their involvement in the policy making cycle and the government claims that some CSOs lack the necessary expertise to constructively engage in this process. CSOs' poor relations with government constrain their ability to play a greater role in governance. However, there are growing examples of successful engagement in which the government realizes the expertise CSOs can bring to enhancing service delivery and policy formulation. For their part, CSOs must acquire more sophisticated skills and develop stronger constituencies in order to play a greater role in policymaking, planning and implementation.

2.2 Description of Applicable Environmental and Natural Resource Legal Requirements Policies, Laws, and Regulations

It is important to note that Armenia has a comprehensive legal framework on environment-related issues through both domestic legislation and international agreements that the country is party to. However, due to a lack of capacity and staffing constraints (e.g. environmental inspectorate), budget constraints, corruption, weak data, feedback and public participation in decision-making, the enforcement of newly developed or updated legislation is a big issue in Armenia. Limited enforcement of legislation and regulations is one of the root causes of the unsustainable use of resources.

The Armenian Law on Environmental Impact Assessment and Expertise (adopted in 2014) states that all economic and industrial activities are required to obtain clearance from the Ministry of Nature Protection through the satisfactory performance of an Environmental Impact Assessment (EIA) if they meet the following requirements: i) they are in the mandatory list stated in the law; ii) the amount of their production exceeds threshold values specified in the law; iii) they are located in a protected area.

Water code adopted in 2002, played an important role in regulating water resources allocation and management.

The regulation on Nature Protection and Nature Utilization Payments requires certain organizations and individuals to pay into the State budget to fund environmental programs throughout the country.

Law on environmental education and training of the population has set the environmental standards in education. Under this law continuous environmental education contains the different levels, including high education.

In 2012 new Mining Code was adopted to apply “one window” approach by simplifying exploitation provision process. Although the Code defines the principles of preservation and protection; however there are no major improvements in this area. The issue of waste and used tailings did not receive adequate reflection in the mining code.

The Activity will support changes to Water Code as well as environmental and resource management fees to promote conservation approaches. The project also promotes environmental considerations in sectorial policies and regulations, including water and agriculture.

The Activity will also positively impact access to environmental information, public participation in environmental decision making and access to justice in compliance with Aarhus Convention, to which Armenia is a party and law on Environmental Impact Assessment with respective regulations.

2.3 Country/Ministry/Municipality Environmental Capacity Analysis

Due to lack of capacity and staffing constraints at the Ministerial level, in many cases decisions are not well-informed and fail to take into account recommendations concerning sustainable development approaches. The responsible institutions often have insufficient capacity to implement modern

environmental compliance and monitoring approaches. Larger communities maintain the in-house capacity to oversee compliance with environmental regulations during the implementation of projects involving infrastructure, as well as waste collection and administration and other type of services connected with environment. Typically, special staff is assigned to review the process and provide analytical status reports. If violations occur, the municipality should then take corrective action. Due to small size and limited staff capacity, smaller communities/villages assign this role to the mayor who has to make sure that community services and projects are carried out in accordance with environmental regulations. Municipalities with larger budgets occasionally outsource environmental analysis to engineering companies, which, along with construction services, maintain experts specializing in environmental regulations. In summary, in-house expert capacity at both at national and local levels is underdeveloped.

With USAID's and other donors support the capacities of the Ministries Nature Protection, Agriculture, Energy and Natural Resource Management as well as municipalities and local government has been strengthened to address environmental issues. This project supports capacity development of water basin management organizations and local communities.

2.4 Sustainability Analysis

The Activity will pursue compliance to legislation on proper water management, wherever applicable. It will strictly follow all the required environmental, health and safety safeguards for small-scale water conservation projects. This will promote environmental compliance and responsibility among implementing partners and local stakeholders and mitigate risks related to construction.

The Activity may help address the root causes of lack of capacities and education, awareness, as well as lack of political will about natural resource management and environmental conservation matters.

The Activity will assist to improve Armenia's climate resilience and provide greater access to water. It will also assist local communities to improve the accessibility, reliability, quality, efficiency, and affordability of water services.

The Activity will strengthen the educational capabilities and enhance the research potential of water stakeholders. Environmental compliance measures will mitigate negative effects from small-scale infrastructure projects.

2.5 Climate Change Vulnerability Analysis

According to climate change projections modelling results, the Ararat Valley will be most vulnerable to water scarcity in Armenia⁴. This Activity will support climate change analysis and capacity building, as well as assist in developing mitigation measures as part of the support to broader water basin planning activities. Projections for the reduction of water over the next 5 to 10 years will also become available through the modelling planned under the ASPIRED project. Once available, PURE will help communicate/advocate for more sustainable water use based on the findings of such modeling.

⁴ Second National Communication on Climate Change, report under UNFCCC, 2010

3. Analysis of Potential Environmental Impact

3.1 Recommended Mitigation Measures and Threshold Determination

Result Area 1: Policy and regulatory improvements to foster participatory use of water

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
1.1 Gaps in the policy-regulatory environment identified, a shared strategy for policy-regulatory improvements developed and implemented; 1.2 An action plan for improved water resource management agreed upon amongst, national government (including Natural Resources, Energy and Agriculture), local governments and other stakeholders; 1.3 Capacity of citizen groups and water users' associations to effectively advocate for transparent decision making in water resource management improved; 1.4 Constructive civil society input for improved policy-regulatory environment sought and aggregated; and 1.5 A council to advise the state-run Basin Management Organization of the Ararat Valley and support participatory basin planning established and assembled.	No adverse impact anticipated	N/A	Categorical Exclusion per §216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);

Result Area 2: Participation and oversight of water resources to improve efficiency

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
2.1 Public oversight mechanisms developed, including: Consumer feedback tools using information communications technologies (ICTs), for example mobile solutions, linked to the geo-mapping of the Ararat Valley groundwater resources; Community monitoring schemes for water quality and efficient use; 2.2 Community-based groups trained in the use of public oversight mechanisms to monitor water quality and quantity, usage, and basin planning and management through targeted capacity building activities and small subgrants; 2.3 Local governments in affected communities assisted to ensure compliance of the local users with the updated regulatory framework; transparency and public access to water-related information provided; and community members in water-related decision-making engaged (e.g. inclusive participation and oversight of water planning and permitting processes). Should the activities targeted towards increased transparency require installments, such as tamper proffer water meters to get accurate usage, these will fall under small-scale projects described under Objective 4, for which ERC/EMMPs will be provided; 2.4 Water user associations, public utility entities, and interested community organizations trained and mobilized in public oversight efforts through small targeted capacity building activities and small (5-10K) sub-grants for monitoring purposes.	No adverse impact anticipated	N/A	Categorical Exclusion per §216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);

Result Area 3: Raise public awareness and foster behavioral change among water users

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
3.1 Broad public awareness and education campaigns on water rights and responsibilities: • Common messaging regarding water resource quality and use developed in collaboration with the government and other public stakeholders; • Public awareness campaigns using a mix of integrated marketing communication tools developed and implemented; and • Baseline and follow-up consumer and stakeholder surveys on water quality, use, and responsibilities conducted. 3.2 Tailored stakeholder behavioral change interventions, such as: • Stakeholder mapping, assessment, and analysis conducted to have an explicit understanding of the behaviors and motivations and capabilities of different stakeholders involved; • Tailored outreach and strategic communication campaigns developed and implemented, targeting different stakeholder groups based on the stakeholder analysis.	No adverse impact anticipated	N/A	Categorical Exclusion per §216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);

Result Area 4: Meeting Water Needs through Small-scale Infrastructure

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
4.1 Small-scale rehabilitation pilot projects in the range of 10-50K that cover water systems for up to 2,000 people and lead to increased and sustained community water access. Examples may include new or improved and more efficient water distribution infrastructure; community scale and sanitation infrastructure; or water efficiency, conservation, and productivity improvements. A key aspect of this support is that communities will be active participants in the planning and preparation efforts, and interventions will be selected to target community needs.	Small scale pilot activities will have positive impact on the environment by increasing use efficiency of water resources. During the implementation there might be adverse environmental and health/safety effects, For example not properly provided drainage could lead to erosion problems. Generated waste can impact water and soil. Oil leakage from equipment may lead to pollution of water, soil and air, noise and vibration may impact nearby population, etc. The impacts need to be mitigated	The implementing partner will develop and/ or follow the ERC (Annex 1) and EMMP for each defined pilot and provide for USAID/Armenia MEO approval. For each site-specific activity, the ERC/EMMP prepared will be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See ERC Section I) and sent by the implementer to the COR/AOR for his or her records and copied to the MEO and BEO. After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see IEE Annex 1) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR.	Negative Determination with conditions recommended per 216.3(a)(2)(iii)

4 Recommended Environmental Actions

4.1 Recommended Mitigation Measures

The implementing partner will develop and/ or follow the ERC (Annex 1) and EMMP for each defined pilot described in Activity 4.1 above and provide for USAID/Armenia MEO approval. For each site-specific activity, the ERC/EMMP prepared will be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See ERC Section I) and sent by the implementer to the COR/AOR for his or her records and copied to the MEO and BEO. After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see IEE Annex 1) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR.

4.2 Recommended Environmental Determination for New Activities:

Categorical Exclusions: A categorical exclusion is recommended for Activities 1.1, 1.2, 1.3, 1.4 and 1.5; 2.1, 2.2, 2.3, and 2.4; 3.1 and 3.2; per 22 CFR 216.2(c)(2)(i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.).

Negative Determination: A negative determination with conditions is recommended for activities under 4.1, per §216.3(a)(2)(iii). Specific terms and conditions are presented below in Section 4.3.

4.3 Terms and Conditions:

The implementer should follow the following:

4.3.1 The implementing partner will develop and/ or follow the ERC (Annex 1) and EMMP for each defined pilot and provide for USAID/Armenia MEO approval. For each site-specific activity, the ERC/EMMP prepared will be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See ERC Section I) and sent by the implementer to the COR/AOR for his or her records and copied to the MEO and BEO. After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see IEE Annex 1) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR.

4.3.2 The pilot activities (2) will be implemented with the requirements of the local environmental legislation and health standards, as well as will be introducing best international practices.

4.3.3 EMMPs shall be captured in annual work plans, and therefor budgeted for and reviewed for adequacy at least annually.

4.3.4 Changes in activities, and their associate EMMPs shall necessitate amending the IEE or issuing a Memo to the File (depending on extent and potential impact of the changes).

4.4 USAID Monitoring and Reporting:

4.4.1 The AOR/COR, with the support of the MEO, is responsible for monitoring compliance of activities by means of desktop reviews and site visits.

4.4.2 If at any time the project is found to be out of compliance with the IEE, the AOR/COR or MEO shall immediately notify the BEO.

4.4.3 A summary report of Mission's compliance relative to this IEE shall be sent to the BEO on an annual basis, normally in connection with preparation of the Mission's annual environmental compliance report required under ADS 203.3.8.5 and 204.3.3.

4.4.4 The BEO or his/her designated representative may conduct site visits or request additional information for compliance monitoring purposes to ensure compliance with this IEE, as necessary.

4.5 Implementing Partner (IP) Monitoring and reporting

4.5.1 If an individual activity is found to pose significant adverse environmental effects that have not been identified and addressed in EMMPs that have been approved for the project, new EMMPs shall be developed to include environmental safeguards for such effects using the format in Annex 2. Such EMMPs will be sent to the Contract Officer's Representative (COR)/Agreement Officer's Representative (AOR), prior to the start of work. For each site-specific activity, the EMMP prepared as part of the EA process or otherwise approved will be attached to the signed Certification of No Adverse or Significant Effects on the Environment (See IEE Section I) and sent by the implementer to the COR/AOR for his or her records and copied to the Mission Environmental Officer (MEO) and Europe and Eurasia Bureau Environmental Officer (BEO). After the IP has finalized its activities at a specific site, the IP shall sign a Record of Compliance with the EMMP (see IEE Annex 1) certifying that the organization met all applicable EMMP conditions and submit it to the COR/AOR. The COR/AOR shall keep the original for the project files and provide a copy to the MEO and BEO.

4.5.2 IPs will report on environmental compliance requirements as part of their routine project reporting to USAID.

5 Mandatory Inclusion of Requirements in Solicitations, Awards, Budgets and Workplans

5.1 Appropriate environmental compliance language, including limitations defined in Section 6, shall be incorporated into solicitations and awards for this activity and projects budgets shall provide for adequate funding and human resources to comply with requirements of this IEE.

5.2 Solicitations shall include Statements of Work with task(s) for meeting environmental compliance requirements and appropriate evaluation criteria.

5.3 Environmental mitigation and monitoring requirements, when available, shall also be included in solicitations and awards.

5.4 The IP shall incorporate conditions set forth in this IEE into their annual work plans.

5.5 The IP shall ensure annual work plans do not prescribe activities that are defined as limitations, as defined in Section 6.

5.6 The USAID Mission will include an indicator for environmental compliance as part of the project's performance monitoring plan.

6 Limitations of the IEE: This IEE does not cover activities (and therefore should changes in scope implicate any of the issues/activities listed below, a BEO-approved amendment shall be required), that:

6.1 Normally have a significant effect on the environment under §216.2(d)(1) [See http://www.usaid.gov/our_work/environment/compliance/regulations.html]

6.2 Support project preparation, project feasibility studies, engineering design for activities listed in §216.2(d)(1);

6.3 Affect endangered species;

6.4 Result in wetland or biodiversity degradation or loss;

6.5 Support extractive industries (e.g. mining and quarrying);

6.6 Promote timber harvesting;

6.7 Provide support for regulatory permitting;

6.8 Result in privatization of industrial or infrastructure facilities;

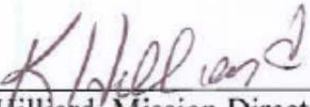
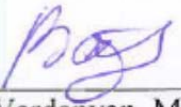
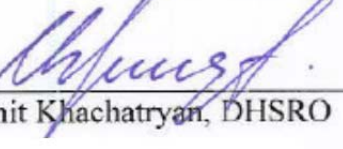
6.9 Lead to new construction of buildings or other structures;

6.10 Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials and /or pesticides (cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act); and

6.11 Procure or use genetically modified organisms.

7 Revisions: Under §216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered major and their effect significant, or if additional activities are proposed that might be considered major and their adverse effect significant, this environmental threshold decision will be reviewed and, if necessary, revised by the Mission with concurrence by the BEO. It is the responsibility of the USAID COR/AOR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of this IEE.

8 Recommended Environmental Threshold Decision Clearances:

Approval:	 _____ Karen Hilliard, Mission Director	<u>1-13-16</u> _____ Date
Clearance:	 _____ Marina Vardanyan, Mission Environmental Officer	<u>01/12/2016</u> _____ Date
Clearance:	 _____ Anahit Khachatryan, DHSRO	<u>01/12/2016</u> _____ Date
Concurrence	 _____ Mark Kamiya E&E Bureau Environmental Officer	<u>1/26/2016</u> _____ Date

Distribution:

IEE File

MEO (to also provide a copy to AOR/COR)

ANNEX 1



**SOP-1, Template 3: Environmental Review Checklist
for Identifying Potential Environmental Impacts of
Project Activities and Processes**

ENVIRONMENTAL REVIEW CHECKLIST FOR IDENTIFYING POTENTIAL ENVIRONMENTAL IMPACTS OF PROJECT ACTIVITIES AND PROCESSES

for [Activity Name]

Implemented under: *[Project Name]*

DCN: *[of Parent IEE]*

Prepared by: *[Implementer]*

ENVIRONMENTAL REVIEW CHECKLIST FOR IDENTIFYING POTENTIAL ENVIRONMENTAL IMPACTS OF PROJECT ACTIVITIES AND PROCESSES

The Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (ERC) is intended for use mainly by implementing partners to: assess activity-specific baseline conditions, including applicable environmental requirements; identify potential adverse environmental effects associated with planned activity(s) and processes; and develop environmental mitigation and monitoring plans (EMMPs) that can effectively avoid or adequately minimize the identified effects. This ERC can also be substituted for other ERC versions that may have been attached to project initial environmental examinations (IEE). If implementing partners are in doubt about whether a planned activity requires preparation of an ERC, they should contact their Contracting Officer's Representative (COR)/Agreement Officer's Representative (AOR) for clarification. *(When preparing the checklist, please indicate "not applicable" for items that have no bearing on the activity.)*

A. Activity and Site Information

Project Name: (as stated in the triggering IEE)	
Mission/Country:	
DCN of Triggering IEE:	
Activity/Site Name:	
Type of Activity:	
Name of Reviewer and Summary of Professional Qualifications:	
Date of Review:	

B. Activity Description

1. Activity purpose and need
2. Location of activity
3. Beneficiaries, e.g., size of community, number of school children, etc.
4. Number of employees and annual revenue, if this is a business
5. Implementation timeframe and schedule
6. Detailed description of activity and site, e.g., size of the facility or hectares of land; steps that will be taken to accomplish the activity
7. Existing or planned certifications, e.g., ISO 14001 EMS, ISO 9000, HCCP, SA 8000, Global Gap, Environmental Product Declarations, Eco Flower, EcoLogo, Cradle to Cradle, UL Environment, GREENGUARD, Fair Trade, Green Seal, LEED, or various Forest Certifications
8. Site map, e.g., provide an image from Google Earth of the location
9. Photos of site *(when available)*

C. Activity-Specific Baseline Environmental Conditions

1. Population characteristics
2. Geography
3. Natural resources, e.g., nearby forest/protected areas, ground and surface water resources
4. Current land use
5. Proximity to public facilities, e.g. schools, hospitals, etc.
6. Other relevant description of current environmental conditions in proximity to the activity

D. Legal, Regulatory, and Permitting Requirements

1. National environmental impact assessment requirements for this activity
2. Applicable National or local permits for this activity, responsible party, and schedule for obtaining them:

Permit Type	Responsible party	Schedule
Zoning		
Building/Construction		
Source Material Extraction		
Waste Disposal		
Wastewater		
Storm Water Management		
Air Quality		
Water Use		
Historical or Cultural Preservation		
Wetlands or Water bodies		
Threatened or Endangered Species		
Other		

3. Additional National, European Union, or other international environmental laws, conventions, standards with which the activity might be required to comply
 - a. Air emission standards
 - b. Water discharge standards
 - c. Solid waste disposal or storage regulations
 - d. Hazardous waste storage and disposal
 - e. Historical or cultural preservation
 - f. Other

E. Engineering Safety and Integrity *(for Sections E. and F., provide a discussion for any of the listed issues that are likely to have bearing on this activity)*

1. Will the activity be required to adhere to formal engineering designs/plans?
Have these been or will they be developed by a qualified engineer?
2. Do designs/plans effectively and comprehensively address:
 - a. Management of storm water runoff and its effects?
 - b. Reuse, recycling, and disposal of construction debris and by-products?
 - c. Energy efficiency and/or preference for renewable energy sources?

- d. Pollution prevention and cleaner production measures?
 - e. Maximum reliance on green building or green land-use approaches?
 - f. Emergency response planning?
 - g. Mitigation or avoidance of occupational safety and health hazards?
 - h. Environmental management of mobilization and de-mobilization?
 - i. Capacity of the host country recipient organization to sustain the environmental management aspects of the activity after closure and handover?
3. Are there known geological hazards, e.g., faults, landslides, or unstable soil structure, which could affect the activity? If so, how will the project ensure structural integrity?
 4. Will the site require grading, trenching, or excavation? Will the activity generate borrow pits? If so, how will these be managed during implementation and closure?
 5. Will the activity cause interference with the current drainage systems or conditions? Will it increase the risk of flooding?
 6. Will the activity interfere with above- or below-ground utility transmission lines, e.g., communications, water, sewer, or natural gas?
 7. Will the activity potentially interfere with vehicle or pedestrian traffic?
 8. Does the activity increase the risk of fire, explosion, or hazardous chemical releases?
 9. Does the activity require disposal or retrofitting of polychlorinated biphenyl-containing equipment, e.g., transformers or florescent light ballasts?

F. Environment, Health, and Safety Consequences

1. Potential impacts to public health and well-being

- a. Will the activity require temporary or permanent property land taking?
- b. Will activities require temporary or permanent human resettlement?
- c. Will area residents and/or workers be exposed to pesticides, fertilizer, or other toxic substances, e.g., as a result of farming or manufacturing? If so, how will the project:
 - i. Ensure that these chemicals do not contaminate ground or surface water?
 - ii. Ensure that workers use protective clothing and equipment to prevent exposure?
 - iii. Control releases of these substances to air, water, and land?
 - iv. Restrict access to the site to reduce the potential for human exposure?
- d. Will the activity generate pesticide, chemical, or industrial wastes? Could these wastes potentially contaminate soil, groundwater or surface water?
- e. Will chemical containers be stored at the site?
- f. Does the activity remove asbestos-containing materials or use of building materials that may contain asbestos, formaldehyde, or other toxic materials? Can the project certify that building materials are non-toxic? If so, how will these wastes be disposed of?

- g. Will the activity generate other solid or hazardous wastes such as construction debris, dry or wet cell batteries, florescent tubes, aerosol cans, paint, solvents, etc.? If so, how will this waste be disposed of?
 - h. Will the activity generate nontoxic, nonhazardous solid wastes (subsequently requiring land resources for disposal)?
 - i. Will the activity pose the need to handle and dispose of medical wastes? If so, describe measures of ensuring occupational and public health and safety, both onsite and offsite.
 - j. Does the activity provide a new source of drinking water for a community? If so, how will the project monitor water quality in accordance with health standards?
 - k. Will the activity potentially disturb soil contaminated with toxic or hazardous materials?
 - l. Will activities, e.g., construction, refurbishment, demolition, or blasting, result in increased noise or light pollution, which could adversely affect the natural or human environment?
- 2. Atmospheric and air quality impacts**
- a. Will the activity result in increased emission of air pollutants from a vent or as fugitive releases, e.g., soot, sulfur dioxide, oxides of nitrogen, volatile organic compounds, methane.
 - b. Will the activity involve burning of wood or biomass?
 - c. Will the activity install, operate, maintain, or decommission systems containing ozone depleting substances, e.g., freon or other refrigerants?
 - d. Will the activity generate an increase in carbon emissions?
 - e. Will the activity increase odor and/or noise?
- 3. Water quality changes and impacts**
- a. How far is the site located from the nearest river, stream, or lake?
 - b. Will the activity disturb wetland, lacustrine, or riparian areas?
 - c. What is the depth to groundwater at the site?
 - d. Will the activity result in increased ground or surface water extraction? If so, what are the volumes? Permit requirements?
 - e. Will the activity discharge domestic or industrial sewage to surface, ground water, or publicly-owned treatment facility?
 - f. Does the activity result in increased volumes of storm water run-off and/or is there potential for discharges of potentially contaminated (including suspended solids) storm water?
 - g. Will the activity result in the runoff of pesticides, fertilizers, or toxic chemicals into surface water or groundwater?
 - h. Will the activity result in discharge of livestock wastes such as manure or blood into surface water?
 - i. Does the site require excavation, placing of fill, or substrate removal (e.g., gravel) from a river, stream or lake?
- 4. Land use changes and impacts**
- a. Will the activity convert fallow land to agricultural land?

- b. Will the activity convert forest land to agricultural land?
- c. Will the activity convert agricultural land to commercial, industrial, or residential uses?
- d. Will the activity require onsite storage of liquid fuels or hazardous materials in bulk quantities?
- e. Will the activity result in natural resource extraction, e.g., granite, limestone, coal, lignite, oil, or gas?
- f. Will the activity alter the viewshed of area residents or others?

5. Impacts to forestry, biodiversity, protected areas and endangered species

- a. Is the site located adjacent to a protected area, national park, nature preserve, or wildlife refuge?
- b. Is the site located in or near threatened or endangered (T&E) species habitat? Is there a plan for identifying T&E species during activity implementation? If T&E species are identified during implementation, is there a formal process for halting work, avoiding impacts, and notifying authorities?
- c. Is the site located in a migratory bird flight or other animal migratory pathway?
- d. Will the activity involve harvesting of non-timber forest products, e.g., mushrooms, medicinal and aromatic plants (MAPs), herbs, or woody debris?
- e. Will the activity involve tree removal or logging? If so, please describe.

6. Historic or cultural resources

- a. Are there cultural or historic sites located at or near the site? If so, what is the distance from these? What is the plan for avoiding disturbance or notifying authorities?
- b. Are there unique ethnic or traditional cultures or values present in the site? If so, what is the applicable preservation plan?

G. Further Analysis of Recommended Actions *(if the applicable IEE requires the use of ERCs to perform further analysis of recommended actions, then check the appropriate box below. If this analysis is not required, then skip this and proceed with Section H. If required by the IEE, the ERC shall be copied to the Bureau Environmental Officer (BEO)).*

- ☐ **1. Categorical Exclusion:** The activity is not likely to have an effect on the natural or physical environment. No further environmental review is required.*
- ☐ **2. Negative Determination with Conditions:** The activity does not have potentially significant adverse environmental, health, or safety effects, but may contribute to minor impacts that can be eliminated or adequately minimized by appropriate mitigation measures. EMMPs shall be developed, approved by the Mission Environmental Officer (MEO) (and the BEO if required by the IEE) prior to beginning the activity, incorporated into workplans, and then implemented. See Sections H and I below.*
- ☐ **3. Positive Determination:** The activity has potentially significant adverse environmental effects and requires further analysis of alternatives, solicitation of stakeholder input, and incorporation of environmental considerations into activity design. A Scoping Statement must be prepared and be submitted to the BEO for approval. Following BEO approval an Environmental Assessment (EA) will be conducted. The activity may not be implemented until the BEO clears the final EA. For activities related

to the procurement, use, or training related to pesticides, a PERUSAP will be prepared for BEO approval.

☐ **4. Activity Cancellation:** The activity poses significant and unmitigable adverse environmental effects. Adequate EMMPs cannot be developed to eliminate these effects and alternatives are not feasible. The project is not recommended for funding.

***Note regarding applicability related to Pesticides (216.2(e):** The exemptions of §216.2(b)(1) and the categorical exclusions of §216.2(c)(2) **such as technical assistance, education, and training** are not applicable to assistance for the procurement or use of pesticides.

H. EMMPs (Using the format provided below, or its equivalent, list the processes that comprise the activity, then for each, identify impacts requiring further consideration, and for each impact describe the mitigation and monitoring measures that will be implemented to avoid or adequately minimize the impacts. All environment, health, and safety impacts requiring further consideration, which were identified in Section F., should be addressed)

1. Activity-specific environmental mitigation plan (Upon request, the MEO may be able to provide your project with example EMMPs that are specific to your activity.)

Processes	Identified Environmental Impacts	Do the Impacts Require Further Consideration?	Mitigation Measures	Monitoring Indicators
List all the processes that comprise the activity(s)(e.g. asbestos roof removal, installation of toilets, remove and replace flooring) A line should be included for each process.	A single process may have several potential impacts—provide a separate line for each.	For each impact, indicate Yes or No ; if No , provide justification, e.g.,: (1) There are no applicable legal requirements including permits or reporting and (2) There is no relevant community concern and (3) Pollution prevention is not feasible or practical and (4) Does not pose a risk because of low severity, frequency, or duration	For each impact requiring further consideration, describe the mitigation measures that will avoid or adequately minimize the impact. (If mitigation measures are well-specified in the IEE, quote directly from IEE.)	Specify indicators to (1) determine if mitigation is in place and (2) successful. For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)

Processes	Identified Environmental Impacts	Do the Impacts Require Further Consideration?	Mitigation Measures	Monitoring Indicators

2. Activity-specific monitoring plan

Monitoring Indicators	Monitoring and Reporting Frequency	Responsible Parties	Records Generated
<i>Specify indicators to (1) determine if mitigation is in place and (2) successful (for example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)</i>	<i>For example: "Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID COR/AOR."</i>	<i>Separate parties responsible for mitigation from those responsible for reporting, whenever appropriate,</i>	<i>If appropriate, describe types of records generated by the mitigation, monitoring, and reporting process.</i>

I. Certification of No Adverse or Significant Effects on the Environment

I, the undersigned, certify that activity-specific baseline conditions and applicable environmental requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section G. If new impacts requiring further consideration are identified or new mitigation measures are needed, I will be responsible for notifying the USAID COR/AOR, as soon as practicable. Upon completion of activities, I will submit a ***Record of Compliance with Activity-Specific EMMPs*** using the format provided in ERC Annex 1 or its equivalent.

 Implementer Project Director/COP *Name*

 Date
J. Approvals:

 USAID COR/AOR *Name*

 Date

 Mission Environmental Officer *Name*

 Date
Distribution:

- Project Files
- Bureau Environmental Officer

ERC ANNEX 1
RECORD OF COMPLIANCE WITH ACTIVITY-SPECIFIC
ENVIRONMENTAL MITIGATION AND MONITORING PLANS (EMMPs)

Subject:	<i>Site or Activity Name/Primary Project Name/IEE DCN Number</i>
To:	<i>COR/AOR/Activity Manager Name</i>
Copy:	<i>Mission Environmental Officer Name</i>
Date:	

The [name of the implementing organization] has finalized its activities at the [site name] to [describe activities and processes that were undertaken]. This memorandum is to certify that our organization has met all conditions of the EMMPs for this activity. A summary of the how mitigation and monitoring requirements were met is provided below.

1. Mobilization and Site Preparation
2. Activity Implementation Phase
3. Site Closure Phase
4. Activity Handover

Sincerely,

 Implementer Project Director/COP Name

 Date

Approved:

 USAID/COR/AOR/Activity Manager Name

 Date

Distribution:

- Project Files
- MEO
- Bureau Environmental Officer