

MODIFICATION OF ASSISTANCE			Page 1 of Pages 13
1. MODIFICATION NUMBER 03	2. EFFECTIVE DATE OF MODIFICATION See block 15	3. AWARD NUMBER: Notice of Funding Opportunity 72051222APS00001	4. EFFECTIVE DATE OF AWARD : TBD
5. GRANTEE: To Be Determined (TBD) DUNS NO. : _____ TIN NO. : _____ LOC NO. : _____		6. ADMINISTERED BY: Regional Office of Acquisition and Assistance USAID/Peru Av. La Encalada Cdra. 17 Lima 33, Peru	
7. FISCAL DATA: Amount Obligated: \$0.00 Budget Fiscal Year: _____ Operating Unit: USAID/Peru Strategic Objective: _____ Team/Division: _____ Benefiting Geo Area: _____ Object Class: _____		8. TECHNICAL OFFICE: USAID/Brazil 9. PAYMENT OFFICE:	
10. FUNDING SUMMARY:			
Amount Prior to this Modification: _____ Change Made by this Modification: _____ New/Current Total: _____		Obligated Amount _____ _____	Total Est. Amt. _____ _____
11. DESCRIPTION OF MODIFICATION: The purpose of this Amendment to Notice of Funding Opportunity 72051222APS00001 is to: (1) modify Annex A: Questions and Answers to include a set of Questions and Answers for the 3rd review Window – July 7, 2023. Accordingly, the APS is hereby amended as follows: Continue...			
12. THIS MODIFICATION IS ENTERED INTO PURSUANT TO THE AUTHORITY OF FAA of 1961, as amended. AS AMENDED. EXCEPT AS SPECIFICALLY HEREIN AMENDED. ALL TERMS AND CONDITIONS OF THE GRANT REFERENCED IN BLOCK #3 ABOVE, AS IT MAY HAVE HERETOFORE BEEN AMENDED, REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT.			
☐ ☐ EFFECTED HEREIN IS NOT REQUIRED TO SIGN THIS DOCUMENT TO RECONFIRM ITS AGREEMENT WITH THE CHANGES			
14. GRANTEE: BY: _____ _____ (Name Typed or Printed) TITLE: _____ DATE: _____		15. THE UNITED STATES OF AMERICA U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT BY: _____ _____ (Name Typed or Printed) TITLE: _____ DATE: _____	

1. Modify Annex A to the APS as follows:

Annex A – Questions and Answers (see Page 3.)

ANNEX A

QUESTIONS AND ANSWERS APS 72052222APS0001

FIRST REVIEW WINDOW DATE – November 18, 2022

Question 1: Could USAID please confirm that organizations are permitted to submit multiple prime and or sub concept notes under this APS

Answer to Question 1: Yes, entities may participate in more than one application as a prime or as a sub.

Question 2: Can an organization apply for both funding areas as a prime for Area number 1 and a sub for Area number 2?

Answer to Question 2: Yes.

Question 3: Regarding Locally Established Partner (LEP) eligibility, do we have to fulfill all required criteria - including local citizens in the board of directors - or would our active presence and a letter from our local partner be sufficient to demonstrate our links to the local community to qualify as an LEP?

Answer to Question 3: To be considered a Locally Established Partner (LEP) all requirements as in section C.1.b of the APS must be met.

Question 4: Regarding the eligibility requirements for New Partners, does the required criteria apply to both primes and subs or to primes only?

Answer to Question 4: Eligibility requirements to any category apply only to the prime.

Question 5: Does this grant #72051222APS00001 have a matching funds component/requirement?

Answer to Question 5: APS Program Area 1 has a 1:1 leverage requirement, while Program Area 2 has no specific requirement. However, a matching component is highly recommended as 50% of the merit criteria is based on leverage among other factors.

Question 6: Is there a time limit for submitting the concept note on November 18th? (for example, before midnight Lima time)

Answer to Question 6: The limit for submitting Concept Notes is 23:59 Lima time deadline dates (November 18th, 2022; April 7, 2023, and July 7, 2023).

Question 7: Are we allowed to include overhead in our project budget? Is there a limit to the percentage of overhead that can be requested?

Answer to Question 7: Entities with NICRAs approved by any federal agency may include overhead up to their approved rate. Any non-Federal entity that does not have a current negotiated (including provisional) rate, may elect to charge a 10% de minimis rate of Modified Total Direct Costs (MTDC) per 2 CFR 200.414(f).

Question 8: If we are applying to Program Funding Area No. 1: “Biodiversity Conservation, Bioeconomy, and Climate Change in the Brazilian Amazon” in the concept note, do we have to indicate already a private partner that will fund 100% (minimum 2.5 mi) of the budget we are applying for USAID?

Answer to Question 8: The total activity budget amount should specify the amount of USAID funding requested and what the Resource Partner(s) will contribute as leverage budget. Please refer to Section D.3 *Concept Note Outline* Sections 4 and 5.

Question 9: The leverage does not apply when it comes to the "Program Funding Area No 2: Territorial Management of Indigenous Lands for Brazilian Amazon”?

Answer to Question 9: Please refer to Question 5.

Question 10: We would like to know whether it would be possible to execute the project in environmental liability areas of a community cooperative of artisanal and small-scale miners.

Answer to Question 10: Artisanal mining is not covered by the PCAB and it is neither part of the bilateral agreement with the Government of Brazil.

Question 11: Would it be an obstacle, for any of the parts, if a partner in our proposal is also a proponent of another proposal? The proposals, naturally, will address different issues.

Answer to Question 11: Entities may participate in more than one application.

Question 12: Are Resource Partners only organizations that contribute resources to the project (match funding)? Or does it include execution partner organizations that receive project funds (subgrants)?

Answer to Question 12: Resource Partners may also be proposed as implementing partners. However, it is important to note that we do not recognize consortiums. Offers must be sent by

a legally recognized entity who will be identified as the Prime. The Prime can then construct subawards to entities necessary to complete the work.

Question 13: Are subgrants permitted under this project?

Answer to Question 13: It will be analyzed and evaluated depending on the proposed program.

Question 14: Are there issues with an organization entering in more than one proposal with the same role? And what about with different roles?

Answer to Question 14: Please refer to Question 11.

Question 15: Do all organizations participating in the project need to be registered to SAM.gov? Or only the Implementing Partner?

Answer to Question 15: Only the Prime implementing partner needs to be registered in SAM.gov. Subs would just require a Unique Entity Identification number.

Question 16: What are the communications / visibility requirements if we move forward? Are there any standard rules on these aspects?

Answer to Question 16: Branding and Marking requirements will be addressed during the co-creation process.

Question 17: Is there a difference between entering in only one Program Funding Area or in both? Would we be required to specify the budget lines between the two Areas?

Answer to Question 17: Concept Notes need to respond to one of the two areas in the APS. Offerors may establish any links with other presented concept notes, if any, but no budget lines between Program areas need to be provided.

Question 18: Specifically, about Program Funding Area No 1, what does "a minimum of 1:1 leverage" mean? Does it mean that for every dollar received from USAID, the project needs to have another dollar in funding from other partners? And are these "Resource Partners"?

Answer to Question 18: Yes, for every dollar received from USAID, the project needs to have another dollar in funding from own and/or other resource partners.

Question 19: For this NOFO, there are two program funding areas. Can the proposal include both areas? Or should it be focused only in one of them?

Answer to Question 19: Concept Notes may be reviewed by different panels, so you should select the area that is most appropriate.

Question 20: In a case of a consortium (two or more NGOs apply together with a single proposal, in which one is the prime grantee, and the others are subgrantees), all applicants must register at SAM? Or is this a requirement only for the prime grantee?

Answer to Question 20: We do not recognize consortiums. Offers must be sent by a legally recognized entity who will be identified as the Prime. The Prime can then construct subawards to entities necessary to complete the work. Only the Prime needs to be registered in SAM.gov. Subs would just require a Unique Entity Identification number.

SECOND REVIEW WINDOW DATE – April 7, 2023

Question 1: Does a multilateral international organization, with a country office in Brazil, can be eligible as an implementation partner?

Answer to Question 1: Multilateral international organizations with a country office in Brazil can participate, however, USAID/Brazil is interested in working with Local Entities, Locally Established Entities, New Partners and Non-Traditional Partners.

Question 2: Does previous investments in the company and in the association constitute valid resource leverage?

Answer to Question 2: Previous investments are not considered valid leverage resources. The proposed leverage needs to be specific for the proposed activity

Question 3: Is part of the salary of the researchers (mostly university professors) a valid leverage?

Answer to Question 3: Yes, researchers' salary are considered valid leverage

Question 4: In the project, travel and living expenses for those researchers is requested, but not salary supplement, which justifies the question

Answer to Question 4: Please clarify, we do not understand the question.

Question 5: In case of a positive answer to question 2, does the amount of money has to be presented in the support letters of the universities? Or can they be presented by the proponent and proved by paycheck copies?

Answer to Question 5: Entities support letters should include the proposed level of leverage resources.

Question 6: Are resources invested in the laboratories of universities and research institutions (mostly out of the Amazon area) valid leverage if they are shown to be necessary for the project development?

Answer to Question 6: Yes, if they respond to the program description.

Question 7: Can an international organization be considered a non-traditional partner?

Answer to Question 7: Yes, an international organization can be considered a non-traditional partner if they have received less than \$25 million in direct or indirect awards from USAID over the past five years.

Question 8: Can the co-financing amount be from a set of partners?

In other words, should a Foundation Program that finances a group of partner NGOs consider the sum of the amounts received by all of them as the leveraged budget?

If so, who can be the proponent, any of the participating NGOs or the funding foundation or company?

Answer to Question 8: Your question is somehow confusing. Our first response would be yes, the co-financing amount can come from a set of partners. You need to decide if you are partnering with the Program Foundation itself or with one or several NGOs that are financed by the Foundation. If the latest is decided, you will need to get a support letter from the NGO as well as the Foundation permission to the NGO authorizing them to commit the money they provide for any purposes the NGO considers appropriate or, specifically, to support the USAID's program. If you decide to partner with the Program Foundation directly you will need a support letter from them.

Question 9: In section D number 2 of the call concerning the application process, there are 3 deadlines for the concept notes: November 18, 2022; April 7, 2023; and July 7, 2023. Will USAID accept concept notes during these three deadlines or only on November 18, 2022?

Answer to Question 9: 1) USAID will accept Concept Notes during each of the three deadlines November 18, 2022; April 7, 2023; and July 7, 2023, as stated in the APS.

Question 10: If we submit a concept note that is not invited to phase 2 of the application process, following the feedback from USAID, may we submit a revised proposal for a subsequent deadline (e.g., April 7, 2023)?

Answer to Question 10: If your concept note is evaluated and not selected to phase 2 (Co-Creation) you will be provided with related feedback. Applicants may resubmit a revised concept note during a subsequent deadline

Question 11: We would like to know about deadline? Can I choose one of them? Can I for example submit in April 2023 only?

Answer to Question 11: Yes, you can submit Concept Notes during only one of the established deadlines.

Question 12: Can a project focused on Program Funding Area No 2 include other traditional populations as beneficiaries such as riverine and local communities? Or only indigenous peoples?

Answer to Question 12: The priority objectives for activities under Program Area 2 should be focused on the protection and management of Indigenous Lands, as explained in detail in the APS. If there are communities involved that are not Indigenous, that is fine, as long as it is clear that the activity emphasizes the objectives/outcomes expressed for Territorial Management of Indigenous Lands. A reminder to applicants that Program Area 1 does include scope to work with local and traditional communities, as explained in the Magnitude of Change section.

Question 13: Would the participation of a mix of indigenous peoples and other traditional populations, such as riverine and local communities, be considered as positive for the project? Or would it be detrimental to the evaluation of the project?

Answer to Question 13: The Concept notes will be evaluated based on their strengths and weaknesses per the Merit review Criteria noted in the APS.

Question 14: Can funding be requested for a single project that is developed in two different areas in the Amazon?

Answer to Question 14: Yes.

Question 15: Can the project area be within the limits of the so-called legal Amazon, with clear objectives of biodiversity conservation and the well-being of communities related to that biome?

Answer to Question 15: Yes.

Question 16: Transfers to IPLCs (Indigenous Peoples and Local Communities): how does it work? Will IPLC organizations have to report directly to USAID, or can we centralize everything in our organization?

Answer to Question 16: What do you mean by Transfers? Does it mean Subawards? If so, reporting is provided by implementers directly to USAID, sub awardees report to SAM.gov Thank you for your response. Below I am listing further questions to be clarified:

Question 17: Counterpart: can it be an organizational counterpart and not exclusively for the project? In other words, everything that our organization has already secured funding as an organization and not just what will be dedicated as a counterpart to our proposal?

Answer to Question 17: Applicants are encouraged to leverage USAID support by bringing their own and other resources to the potential development solution. In other words the proposed leverage is what will be dedicated to the proposed activity.

Question 18: % Team Budget: Do you know if there is a cap on the % of the budget can be to cover project team salaries and benefits?

Answer to Question 18: At this stage the proposed budget must state and estimate. There is no estimated cap, however, the level of effort needs to be realistic and responsive to the proposed activity.

Question 19: Exchange rate: what is the parameter for calculating the exchange rate?

Answer to Question 19: Proposed Budgets are calculated in US dollars

Question 20: Is there a limit (%) to how much we can allocate to hiring consultants?

Answer to Question 20: At this stage the proposed budget must state and estimate of US funds being requested and how the resource partner(s) will contribute to the activity.

Question 21: Will the selection of Concept Notes be limited by country? For example: 1 proposal per country of the Amazon?

Answer to Question 21: The geographic scope of this APS is the Brazil Legal Amazon. So it is limited to one Amazon country - Brazil.

Question 22: Can we be the main proponent for one Concept Note and a subgrantee in other proposals submitted by partners? Is there a cap on the number of proposals we can submit as subgrantees?

Answer to Question 22: A main proponent in one Concept Note can be a sub-grantee in other proposals. Even though there is no cap on the number of applications in which one entity may participate if its concept note is selected, during the co-design phase, USAID will evaluate the institution capability to do all the programs.

Question 23: What is the expected date for beginning project activities (i.e. once the co-creation phase is concluded)?

Answer to Question 23: We are unable to anticipate a date. It will depend how long co-creation takes as well as compliance with USAID requirements.

Question 24: Can the Resource Partner Commitment Letters be issued by our own organization since the counterpart funding has already been ensured?

Answer to Question 24: Leverage commitment letters must be issued by the organizations directly as they should be specific commitments to the proposed development solution.

Question 25: Could you please confirm if the agreement will be signed by USAID Peru or USAID Brazil? This question is to confirm if the funds will be transferred by an international or local organization.

Answer to Question 25: The agreement will be signed by USAID/Peru but the activity will be implemented and managed in Brazil by USAID/Brazil. USAID is a US Government organization; funding transfers are made following the payment method established in each award mechanism.

Question 26: Are subnational governments eligible to receive funds from the prime grant recipient to implement parts of the work? If so, may those same governments also provide resources as Resource Partners?

Answer to Question 26: Unfortunately, subnational governments depending on governmental funding and accounting systems are not eligible institutions.

Yes, subnational governments can be considered resource partners.

Question 27: The implementing partner and the resource partner could be the same organization? If an implementing partner has a resource in-kind and in cash that will be used to leverage and expand the proposal, it should be listed as a resource partner?

Answer to Question 27: Yes, an organization can be implementer and resource partner as well.

Question 28: The letters from the resource partner should be signed by the organization or by the funder that supports the organization? For example, My organization already has 500,000 USD that can leverage our proposal, should I provide a letter from my organization or one letter from the funder that gave me the 500,000USD?

Answer to Question 28: Support letters need to be signed by the funder. In your case you will need both. A commitment letter from your organization and a permission from your funding provider authorizing you to commit the money they provide for any purposes your consider appropriate or, specifically, to support the USAID's program.

Question 29: In the financial budget for as public notice, can match funds in-kind be allocated to pay technical team salaries?

Answer to Question 29: We believe you refer to considering salaries as in-kind leverage. If so, yes salaries can be considered as in-kind leverage.

Question 30: Can USAID resources be used partially to help purchase land to expand forest corridors (included in the project) for the purpose of biodiversity conservation?

Answer to Question 30: Purchase of real property with US funding is not allowed.

Question 31: Can an organization request funding for a project divided into both program areas 1 and 2, but resources would be leveraged only for the main area (program area 1), but in this case, it wouldn't reach the USAID-funded minimum 2.5 million?

Answer to Question 31: Yes, a project may request funding from both program areas. You may present the requested funding and leverage divided by areas.

Question 32: On section 4 *Preliminary Budget Estimate (not included as part of the 3-page limit)*. We couldn't find any specific information on how this budget estimate should be represented, if through a number based on our internal budget simulations, or through lines / excel sheet that shows the costs. Hence, we would like to understand the level of information needed at this stage, and although we are already preparing a detailed budget to guide us, I would also like to understand flexibility on the budget through the co-creation process.

Answer to Question 32: At this stage we expect prospective applicants to provide an estimated total activity budget amount in U.S. dollars. This should include the amount of USAID funding requested and what the Resource Partner(s) will contribute as leverage. Please note that per APS Section B.1 each anticipated award will have a minimum value of \$2.5 million of USAID funding.

Question 33: There are 3 deadlines for concept note submissions, can you inform me whether I can submit my concept note at the 2nd or 3rd deadline for concept note submission without penalty or whether one needs to submit three concept notes, one at the first deadline, one at the second deadline and one at the 3rd deadline? Please advise.

Answer to Question 33: Applicants may submit one or various Concept Notes at each of the different submission deadlines or at only one of them depending on their preference. Applicants just need to comply strictly with the requirements stated in Section D of the APS.

Question 34: Is the ABA code absolutely necessary to complete the SAM registration? If so, and we use our US-based bank's ABA code, is it possible to use the Swift and IBAN in case we are rewarded, to avoid risks our bank pointed out, that might eventually delay the project?

Answer to Question 34: This will be a question to ask the USAID regional financial official in case of award.

Question 35: To what extent should/will the resource partners be held accountable for their commitments? For example, due to a risk of the project changing, or any other reason they may withdraw their commitment.

The underlying question here is: we are confident that there are funders interested in co-financing the program, but we are mitigating the risk of not obtaining full 1:1 commitments by July 14th. In this event, even though the commitment letters are part of the assessment criteria, is it possible that a Concept Note with a well-developed program be approved for the co-creation phase, and continued fundraising for the leverage?

Answer to Question 35:

Question 36: If a concept note is not selected during the second proposal submission round, is the same consortium allowed to improve the proposal and resubmit for the third round? Will feedback be given to unsuccessful applicants to allow for improvement and resubmission in July?

Answer to Question 36: If a concept note is not selected during the second proposal submission round, the same consortium is allowed to improve the proposal and resubmit for the third round. Feedback will be given to unsuccessful applicants to allow for improvement and resubmission, however, please check back on the announcement as there could be modifications based on changes to the APS such as in funding availability.

Question 37: We are planning to present a new investment structure (new financial instrument) to the Amazon communities. We plan to bring new commercial partners to the project over the years, but a first set of re-grants will be key to de-risk our instrument and to start the project. In this case it will be possible to request re-grants?

Answer to Question 37: We are not clear what is meant by "re-grants" but if you mean a sub grant, yes - they are allowable.

Question 38: Could you share more details related to the matching funds? What types of matching funds are allowed? What type of documents would we need to provide now and in the future regarding the matching funds?

Answer to Question 38: As for the matching funds - if you are talking about cost leverage - if so, yes, just a letter of intent.

Question 39: We have a question regarding the eligibility of the Prime applicant. Under Section D, Phase 2: Co-Creation of Activity (page 10), among the reasons that an applicant may be unsuccessful, the NOFO states one of them may be:

"The Applicant cannot provide evidence that it is a legal entity capable of operating in Brazil;"

Does this mean the Prime applicant must be legally registered to conduct business in Brazil? For example, if a Prime applicant is not legally registered in Brazil but intends to award subgrants to Subgrantees in Brazil, would said Prime applicant still be eligible to apply?

Answer to Question 39: The Prime applicant must be legally capable to conduct business in Brazil.

Question 40: We are a non profit working very closely with a local tribe in the Amazon. We are applying for grants for projects were working on and we had a question regarding the Amazon Biodiversity Conservation | NOFO/APS number 72051222APS00001.

Does the organization receiving the grant for project need to be a registered organization of Brazil or would we still qualify. We didn't want to complete the process if we did not pre-qualify.

Answer to Question 40: The organization receiving the grant as a prime must provide evidence that it is a legal entity capable of operating in Brazil.

THIRD REVIEW WINDOW DATE – July 7, 2023

Question 1: By Indigenous Territories you are considering the terms of the nº 169 ILO Convention of 1989 that encompasses all people that identify themselves as indigenous or tribal people? There is a legal understanding in Brazil that this definition includes traditional Quilombola territories. Would including those territories be appropriate in the design of our proposal?

Answer to Question 1: We consider Indigenous Territories the Lands traditionally occupied by Indigenous Peoples, as defined by articles 231 and 232 of the Brazilian Constitution of 1988.

Question 2: In section C, says that “Eligible implementing partners include non-governmental or private sector entities (both for and non-profit)”. Are governmental institutions not an eligible applicant? I just want to confirm this information, because 95% of the research is being conducted in Brazil in governmental institutions of technology and also by federal universities.

Answer to Question 2: As mentioned in section C, and in your email, governmental institutions are not an eligible applicant. However, it does not prohibit governmental institutions from being a sub-awardee from another local partner.

Question 3: Como empresa local, situada na Amazônia, e com experiência em trabalho com povos indígenas, podemos concorrer aos prêmios a serem concedidos pela USAID como ente de implementação?

Answer to Question 3: Please see Section C of the APS, ELIGIBILITY INFORMATION

Sim, mas consulte a Seção C da APS, ELIGIBILITY INFORMATION

Question 4: Para o programa 2 - Gestão Territorial de Terras Indígenas para a Conservação da Biodiversidade da Amazônia Brasileira:

- i. não será necessária uma alavancagem mínima de 1:1 como exigido para a área de Financiamento do Programa nº 1 (seja por parte da empresa, como ente de implementação e/ou dos parceiros de recursos)?
- ii. Ou seja, nós podemos apresentar a carta conceitual para a promoção de ações para os Povos Indígenas na Amazônia brasileira, e não necessitaremos indicar parceiros de recursos, tampouco aportar dinheiro, somente contar com os recursos do prêmio para o desenvolvimento das ações, claro, em prol dos indígenas e da conservação da Biodiversidade, e sem fins de lucro.

Answer to Question 4: As part of Section H:

USAID ENCOURAGES a minimum of 1:1 leverage for Program Funding Area No. 1.

However, it is not required for program area 1 or 2. Your application for program area 1 or 2 would be stronger with leverage.

Como parte da Seção H:

A USAID ENCORAJA uma alavancagem mínima de 1:1 para a Área de Financiamento do Programa No. 1.

No entanto, não é NECESSARIO para a área de programa 1 ou 2. Sua inscrição para a área de programa 1 ou 2 seria mais forte com alavancagem.

Question 5: Can USAID please clarify whether there are timing restrictions on leveraged resources. For example, are resources and work that began before the USAID award able to be applied as leverage? Or is it only resources secured after award?

Answer to Question 5: This would apply only to resources secured AFTER the award.

Question 6: Can you USAID clarify the amount of funding remaining under this opportunity allocation for possible awards during the third and final concept note submission period?

Answer to Question 6: This information cannot be determined at this time.

Question 7: Can you USAID clarify the amount of funding remaining under this opportunity allocation for possible awards during the third and final concept note submission period?

Answer to Question 7: This information cannot be determined at this time.

[END OF ANNEX A]

[END OF AMENDMENT 3]