USAID | DEMOCRATIC REPUBLIC OF THE CONGO

FROM THE AMERICAN PEOPLE

Issuance Date:	**March 10, 2017**
Deadline for Questions:	**March 21, 2017**
Closing Date:	**April 12, 2017**
Closing Time:	**17:00 Kinshasa Time**

Subject: **Notice of Funding Opportunity, Number: RFA-605-17-000003**

Program Title: **"Community Resilience in Central Africa" Activity**

Dear Prospective Applicants:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified U.S. and Non-U.S. organizations to fund an activity entitled "Community Resilience in Central Africa." Eligibility for this award is not restricted.

Subject to the availability of funds, an award will be made to that responsible Applicant whose application 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 (NOFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NOFO, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer." Eligible organizations interested in submitting an application 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, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO 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 the Applicant to ensure that the entire NOFO 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 NOFO, 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 activity's objectives. Please read each section of the NOFO.

Please send any questions to the point(s) of contact identified in Section D. 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.

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

Thank you for your interest in USAID programs.

Sincerely,

Amy McQuade
Agreement Officer
USAID/Democratic Republic of the Congo

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ABBREVIATIONS AND ACRONYMS

ADS	USAID Operational Policy: Automated Directive System
AFRICOM	U.S. Africa Command
AO	USAID Agreement Officer
AOR	USAID Agreement Officer's Representative
AU-RTF	African Union Regional Task Force for the Elimination of the Lord's Resistance Army
BS&MP	Branding Strategy and Marking Plan
CAR	Central African Republic
CARPE	Central Africa Regional Program for the Environment (USAID)
CFR	U.S. Code of Federal Regulations
C-LRA	Counter-Lord's Resistance Army
DDRRR	Disarmament, Demobilization, Repatriation, Resettlement, and Reintegration
DEC	USAID Development Experience Clearinghouse
DRC	Democratic Republic of the Congo
EMMP	Environmental Mitigation and Monitoring Plan
GAAS	Generally Accepted Auditing Standards
IEE	Initial Environmental Examination
IR (or IRs)	Intermediate Result(s)
LRA	Lord's Resistance Army
MEL	Monitoring, Evaluation, and Learning
M&M	Mitigation and Monitoring Plan
MONUSCO	United Nations Stabilization Mission in the Democratic Republic of the Congo
MINUSCA	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic
NOFO	USAID Notice of Funding Opportunity
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
OAA	USAID Office of Acquisition and Assistance
OMB	U.S. Government Office of Management and Budget
PDF	Adobe Portable Document Format
SAFE	USAID Activity in Uganda: "Supporting Access to Justice, Fostering Equity and Peace"
SAM	System for Award Management
SECC	USAID Activity in the DRC and CAR: "Secure, Empowered, Connected Communities"
SGBV	Sexual and Gender Based Violence
UNMISS	United Nations Mission in the Republic of South Sudan
USAID	U.S. Agency for International Development

SECTION A: PROGRAM DESCRIPTION

1. Objective

The USAID Central Africa Regional Operating Unit, based at the USAID Mission to the Democratic Republic of the Congo (DRC), seeks applications for funding that will assist the recipient to carry out a five-year, $24 million activity, "Community Resilience in Central Africa."

For years, communities in Central Africa have faced insecurity as a result of the presence of the Lord's Resistance Army (LRA) and other armed groups. Several groups are now active in northeastern DRC and southeastern Central African Republic (CAR), collectively referred to as the "Mbomou-Uele border region" in this NOFO.[1] The region is attractive to armed groups because of its extreme remoteness, limited government presence, and ample opportunities to profit from wildlife trafficking and natural resource exploitation.

Through this NOFO, USAID intends to improve the protection of communities and wildlife in the Mbomou-Uele border region. The purpose of the activity described in this NOFO is to strengthen community resilience to security threats in the region,[2] while coordinating closely with the wildlife conservation activities funded through separate NOFOs, as described in further detail below.

2. Background

The LRA is an armed group that has committed human rights atrocities against communities in Central and East Africa for almost 30 years. In 2010, the U.S. Government (USG) created an inter-agency Counter Lord's Resistance Army (C-LRA) strategy in partnership with regional and international actors. USAID helps implement this strategy through programming in southeastern CAR, northeastern DRC, and northern Uganda.

Joseph Kony formed the LRA in 1987 as a Ugandan political rebellion, but the group soon began to carry out massacres, sexual violence, mutilations, pillage, and abductions. Kony also gained notoriety for his use of child soldiers. In 2006, the LRA was pushed out of Uganda, but scattered groups continue to operate in the ungoverned border areas of the DRC, CAR, South Sudan, and Sudan.

Ugandan and Congolese national militaries, advised by U.S. Special Forces, began pursuing the LRA in 2008, resulting in a halt to its large-scale atrocities. Military forces pursuing the LRA now operate under the command of an African Union C-LRA Regional Task Force (AU-RTF). However, attacks attributed to the LRA continue to occur.

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[1] This NOFO uses the name "Mbomou-Uele border region" to refer to LRA-affected areas of Haut Uele and Bas Uele provinces in the DRC, as well as Mbomou, Haut-Mbomou, and Haute Kotto prefectures in CAR. Section A(4) of this NOFO describes this activity's geographic scope in more detail.

[2] In this context, "community resilience" refers to the ability of communities to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability.

Although the primary objective of the AU-RTF is to capture or kill Joseph Kony, civilians in the region face other security threats, as well. The LRA does not have a monopoly on violence. Many armed groups travel through the region to engage in ivory poaching, other forms of natural resource exploitation, and pillage.

As of early 2017, Joseph Kony remains at large, but the LRA has been significantly weakened. Although the number of reported attacks has increased, most involve small-scale robberies and short-term kidnappings of civilians who are then forced to carry items or perform manual labor for LRA groups. There has been a drop in the number of LRA killings and mass abductions. Of the five LRA commanders with International Criminal Court warrants, four have been captured or killed. The size of the LRA's fighting force has dropped from approximately 1,000 combatants in 2008 to an estimated 150 today.[3]

Nevertheless, the future threat posed by the LRA remains uncertain. In early 2016, the region experienced a dramatic rise in attacks and kidnappings. Evidence suggests that the LRA might be trying to rebuild its forces with child soldiers. At the same time, some analysts believe that LRA-affiliated groups operating in the DRC and CAR are increasingly composed of local people rather than Ugandans, and that Joseph Kony might be losing control of some groups. As a result, it is often difficult to distinguish between the LRA and other armed groups or bandits based on clothing, language, and behavior. Some groups might also be imitating the LRA in order to avoid detection. Meanwhile, the AU-RTF faces the likelihood of reduced capacity to provide a security presence in the region.

These factors create a difficult and evolving operating environment. As a result, USAID programming will depend heavily on adaptability and close coordination with other actors to achieve results. A 2015 USAID field-based assessment ("USAID's 2015 Assessment")[4] highlighted several lessons learned on programming in LRA-affected areas and may be used by Applicants to inform their submissions.

2.1 Nature of the Security Threat

Throughout the Mbomou-Uele border region, the ability of people to travel freely outside their villages is essential to their livelihoods. For example, people grow crops in fields, fish and hunt in forests, transport goods to markets in nearby towns, work at artisanal mining camps, and herd cattle. Parents send their children to schools outside of their villages. Women often walk several kilometers in search of water.[5] Villagers must also travel long distances to access medical care.[6] Because of the various security threats, however, people are afraid to travel outside of their villages for fear of being attacked. This has contributed to food insecurity and lack of access to education, healthcare, and other basic needs in an area that already faces extreme poverty.

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[3] U.S. Congressional Research Service, *The Lord's Resistance Army: U.S. Response* (Sept. 2015), https://www.fas.org/sgp/crs/row/R42094.pdf.
[4] USAID/DRC, *Performance Evaluation and Needs Assessment Report of USAID Programming to Communities Affected by the Lord's Resistance Army in Central Africa* (Nov. 2015), prepared by International Business and Technical Consultants, Inc.,hereinafter referred to as, "USAID's 2015 assessment." This document is available on USAID's Development Experience Clearinghouse, http://pdf.usaid.gov/pdf_docs/pa00ks66.pdf.
[5] USAID's 2015 Assessment, p. 25.
[6] USAID's 2015 Assessment, p. 25.

The capture or killing of Joseph Kony is unlikely to resolve the security threats facing civilians in the region. According to USAID's 2015 Assessment, "The LRA 'problem' is a small piece of a large and complex regional stabilization and development puzzle."[7] The Assessment summarizes the security threats in the region:

> Central state collapse in CAR and South Sudan and continued insecurity in eastern DRC territory have resulted in a security vacuum involving large swathes of land and hundreds of thousands of people. There has been a rise in the number of militia and armed groups in the region, many of which operate with impunity, crossing porous international borders to gain access to resources and weapons.[8]

Active armed groups include the LRA, ex-Séléka and anti-balaka militias from CAR, and Janjaweed militias from the Sudans, among others.[9] Government troops from South Sudan and other countries have also been linked to illicit trade in the region.[10] In addition to known armed groups, numerous criminal networks and bandits cross the borders of CAR, the DRC, and the Sudans freely. Many of these actors have attacked civilians.

The presence of armed groups has also amplified violence between communities. For decades, pastoralist communities from Chad, Cameroon, and Sudan have brought their livestock into CAR during annual migrations, occasionally leading to conflicts over land and natural resources.[11] Previously, most disputes arising between the pastoralists and farming communities were either resolved or remained small in scale. In recent years, however, these disputes have escalated into larger cycles of violence as communities become better armed and are exposed to political rhetoric fueling mistrust between Christians and Muslims.

Since the 1980s, pastoralists have migrated into the Mbomou-Uele region, pushed further south by the effects of conflict, urbanization, and climate change. As in CAR, tensions are high between farming and pastoralist communities in the DRC. Anti-pastoralist rhetoric is common among local political and military leaders, and violence has occurred. Many farming communities believe that pastoralists have allied with the LRA. The reality is more complex. Some pastoralists groups have been attacked and exploited by armed groups, just as local communities have. Other pastoralist groups have had violent encounters with local farming

[7] USAID's 2015 Assessment, p. 17.
[8] USAID's 2015 Assessment, p. 18.
[9] Séléka is a coalition of armed, primarily Muslim groups that launched an offensive against the CAR government in December 2012, leading to a coup in March 2013. Officially disbanded in September 2013 (and now referred to as "ex-Séléka"), these groups still control significant amounts of territory in northeastern CAR. The anti-balaka are a loose coalition of predominantly Christian and animist armed groups that arose in CAR in response to the Séléka. The Janjaweed are militia groups linked to the Sudanese government's genocidal campaign in Darfur.
[10] For example, South Sudan's military, called the Sudan People's Liberation Army (SPLA), has been linked to ivory poaching in northeastern DRC. Garamba National Park officials have reported finding evidence of SPLA soldiers poaching in the park
[11] Most nomadic pastoralists that travel through LRA affected areas are members of the culturally diverse Fulani (or Peuhl) people, the largest pastoral nomadic group in the world. The Mbororo are a subgroup of Fulani cattle herders. Mbororo pastoralists often travel into the Mbomou-Uele border region.

communities. A few pastoralist groups are hired by investors from Chad and Sudan to herd cattle and tend to be more militarized.[12]

2.2 Linkages to Natural Resource Trafficking

The presence of armed groups in the Mbomou-Uele border region is motivated, at least in part, by opportunities to engage in natural resource trafficking. USAID's 2015 Assessment concluded that "there is a clear connection between revenue generation for armed groups from poaching, the looting of diamonds and gold, and the illicit trafficking of ivory and conflict minerals in DRC, CAR, and South Sudan."[13]

The region is rich in biodiversity and is home to elephants, chimpanzees, lions, giraffes, elands, and other important species. With weak governance and ongoing conflict, however, wildlife trafficking has thrived. Several populations are now under threat.

USAID's Central Africa Regional Program for the Environment (CARPE) is responding to these threats.[14] CARPE is a long-term initiative to preserve the Congo Basin's ecosystem by promoting sustainable forest management, biodiversity conservation, and climate change mitigation. The current phase of the program, CARPE III (2012-2020), focuses on institutionalizing conservation monitoring and management approaches developed during the previous phase. CARPE currently operates in six countries: the DRC, Republic of Congo, CAR, Cameroon, Gabon, and Equatorial Guinea.

In the Mbomou-Uele border region, CARPE's interventions focus on counter-wildlife trafficking. Ivory poaching is widespread in the region's protected conservation areas—namely Garamba National Park (DRC), the Bili Uele/Bomu Reserve (DRC), and the Chinko/Zemongo Reserves (CAR). In Garamba National Park, where the scale of poaching has been the most studied, the elephant population has declined from 20,000 in the 1980s to approximately 1,500 today.[15] Poachers include Sudanese armed groups, rogue elements of the Ugandan and the Congolese militaries, and local citizens. The LRA is responsible for a small fraction of the poaching incidents, but poaching is key to funding the operations of the LRA.

The Mbomou-Uele border region is also noteworthy for its mineral deposits. Minerals are a source of revenue for armed groups as well as government troops, although the scale of minerals theft and trafficking is unknown.[16] The Mbomou-Uele border region has numerous deposits of gold and diamonds, which are mostly extracted by artisanal miners. International NGOs operating in CAR have reported numerous incidents where armed groups have attacked or pillaged artisanal mining camps.

[12] For example, see International Crisis Group (2014), *The Security Challenges of Pastoralism in Central Africa*.
[13] USAID's 2015 Assessment, p. 55.
[14] For more information, please visit CARPE's website at http://carpe.umd.edu/index.php.
[15] Based on information provided by Garamba National Park management.
[16] For example, see International Peace Information Service, IPIS (2014), *Mapping Conflict Motives: The Central African Republic*.

The trade of both ivory and conflict minerals is restricted in global markets. Nevertheless, researchers have documented trafficking routes by which armed groups move and sell these natural resources.[17] In some cases, these supply chains might overlap with the networks that support other armed and terrorist groups in Africa.

Armed groups might also be involved in other forms of natural resource trafficking, such as timber or charcoal, although the scale of such activities is unknown. Experience from other conflicts in Central Africa demonstrates the ability of armed groups and military forces to shift between various criminal enterprises if one becomes restricted.

2.3 Legacy of Past Attacks

While the severity of LRA attacks has diminished, the impacts continue to be felt. According to USAID's 2015 Assessment, the legacy of LRA attacks "is perhaps even more impactful with hundreds of thousands displaced and traumatized; thousands killed, wounded, raped or suffering from psychosocial illnesses; and entire communities torn apart after suffering more than twenty years of fear and conflict."[18] The effects of trauma can last for years, affecting not only individuals but also the surrounding community.

In August 2015, the UN estimated that 200,000 people remained displaced in LRA-affected areas.[19] Many people have moved to larger towns for protection, creating a strain on food supplies, prices, employment opportunities, and public services.[20] Conflicts emerge as people settle into new locations or return home to find that social arrangements for land use have changed. USAID's 2015 Assessment found that "community conflicts…have reportedly increased due to the demographic, social, and economic changes caused by displaced people [who] have left their rural communities for cities."[21]

Meanwhile, many survivors continue to struggle with lasting trauma and health issues. Survivors of sexual and gender-based violence are often stigmatized, which prevents them from seeking help. Those who were abducted by the LRA or were born in captivity and managed to escape also face stigmatization upon their return. Without support to reintegrate into society, returnees are vulnerable to joining armed groups or pursuing criminal activities.

3. <u>Linkages to Current and Past C-LRA Initiatives</u>

USAID intends for this activity to build upon and coordinate with a number of current and past C-LRA initiatives. The USG effort to counter the LRA is guided by legislation and an inter-

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[17] See IPIS (2014), id. IPIS has mapped key trafficking routes at http://www.ipisresearch.be/mapping/webmapping/car. The UN Group of Experts on the DRC, the U.S. Fish and Wildlife Service, African Parks, the Enough Project, Invisible Children, National Geographic, and the Resolve have all documented evidence of the LRA's involvement in wildlife trafficking.

[18] USAID's 2015 Assessment, p. 18.

[19] UN Office for the Coordination of Humanitarian Affairs (OCHA), *LRA Regional Update: Central African Republic, DR Congo and South Sudan (April – June 2015)*, 3 Aug. 2015.

[20] USAID's 2015 Assessment, p. 20, 26.

[21] USAID's 2015 Assessment, p. 20.

agency strategy and includes several programming and military activities. At the same time, a number of other international, regional, and local actors have been involved in the C-LRA effort.

3.1 U.S. Legislation, Strategies, and Programming

This activity should contribute to a broader USG effort to counter the LRA. Currently, the inter-agency approach is guided by a 2009 law, the LRA Disarmament and Northern Uganda Recovery Act, and a 2010 White House Strategy to Support the Disarmament of the Lord's Resistance Army. If the USG updates its C-LRA strategy, USAID will seek to contribute to inter-agency efforts moving forward.

Public outrage against the LRA intensified after the group perpetrated two "Christmas massacres" in 2008 and 2009 in northeastern DRC. In May 2010, President Obama signed the LRA Disarmament and Northern Uganda Recovery Act of 2009. This law committed the USG to work with African governments to counter the LRA. It also called on the USG to develop an inter-agency C-LRA strategy, which was completed later that year.[22] In 2011, the USG initiated Operation Observant Compass, deploying approximately 100 military advisors from AFRICOM to support the African Union's C-LRA Regional Task Force. The State Department also provided $57.4 million in security assistance between FY2009 and FY2014.

USAID assistance for LRA-affected communities began in northern Uganda in the 1990s. Between 1997 and 2009, USAID provided $436 million in humanitarian assistance to these communities.[23] After the Ugandan military drove the LRA out of the country in 2006, USAID shifted the focus of its programs in northern Uganda from relief to recovery.[24] These programs initially helped internally displaced persons return to their homes and re-establish their livelihoods. Over time, USAID's LRA-focused activities in Uganda merged into broader, countrywide development programs. For example, USAID strengthened land administration systems and reinforced dispute resolution mechanisms in order to prevent future conflicts in northern Uganda, including in areas affected by the LRA. Following the LRA's expulsion from Uganda, however, attacks continued in neighboring countries. In response, USAID expanded its programs into the DRC and CAR.

Current USAID programs include:

- *Secure, Empowered, Connected Communities (SECC)*, Sept. 2012 - Sept. 2017 ($18.4 million). Implemented by Catholic Relief Services with Caritas and Search for Common Ground in southeastern CAR and northeastern DRC, this program provides holistic protection through community-based planning and high frequency (HF) radio networks, as well as trauma healing and social cohesion support in areas affected by the LRA.

[22] White House Strategy to Support the Disarmament of the Lord's Resistance Army (2010).
[23] USAID Asst. Administrator for Africa, Earl Gast, Testimony to the Senate Foreign Relations Committee, Subcommittee on Africa, "Countering the Lord's Resistance Army," 24 April 2012, http://www.humanrights.gov/dyn/countering-the-lords-resistance-army.html.
[24] In 2008, the Government of Uganda adopted the Peace, Recovery, and Development Plan for Northern Uganda, which signaled a shift from humanitarian assistance towards longer-term recovery and development.

- *Supporting Access to Justice, Fostering Equity and Peace (SAFE)*, 2012 - 2017 ($18.3 million). Implemented by the National Center for State Courts, with $3.3M from C-LRA funds, this program promotes resolution of land disputes in northern Uganda and improved access to justice, including in LRA-affected areas.

3.2 Other Donor and Private Sector Initiatives

A number of non-USG actors are implementing programs in and near LRA-affected areas. These include, but are not limited to:

- *African Parks* is an NGO headquartered in Johannesburg, South Africa that takes on the direct, long-term management of national parks and protected areas in partnership with governments to save wildlife, restore landscapes, and ensure sustainable livelihoods for local communities. African Parks has managed Garamba National Park since 2005 in partnership with the DRC Government, and began managing Chinko Nature Reserve in eastern CAR in 2014 in partnership with the CAR Government.

- *African Wildlife Foundation* is an international conservation organization based in Nairobi, Kenya that focuses on critically important landscapes in Africa. In 2015, it began an initiative in Bili Uele in partnership with the DRC Government and Maisha Consulting to protect an area that is critical for chimpanzees, elephants, and other wildlife.

- The *African Union's Regional Task Force for the Elimination of the LRA* was established in 2011 to pursue the LRA and to protect communities from attacks. At various times, the task force has been composed of Ugandan, Congolese, South Sudanese, and Central African military forces. The U.S. military provides advisors to the mission.

- The *European Union* might increasingly play a role in counter-wildlife trafficking and conservation in the region, although these plans are not clear or definite at this time.

- *Invisible Children* is an NGO based in Washington, DC that implements programs for community protection and defection promotion in LRA-affected areas and also conducts advocacy to increase awareness of the activities of the LRA.

- *Kibali Gold Mine* is a private sector operation near Garamba National Park that opened in 2014. The $2.5 billion mine is owned by Randgold, Anglogold Ashanti, and the DRC Government. The project also includes a 180km road to the Uganda border, an agribusiness element, a resettlement village, and four planned hydropower projects.

- The *United Nations* is involved in counter-LRA activities through several operations. At various times, peacekeepers from the UN Stabilization Mission in the DRC (MONUSCO), the UN Mission in South Sudan (UNMISS), and the Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA) have provided security, defection messaging, ex-combatant reintegration support, and infrastructure rehabilitation in LRA affected areas. The UN Regional Office for Central Africa has also played a coordination role in counter-LRA operations.

- *Vodacom RDC* is the Congolese arm of the Vodacom Group, a South African telecommunications firm. Vodacom has provided cell phone coverage in certain areas affected by the LRA. USAID completed a public-private partnership to install four cell phone towers in the LRA affected areas of DRC in 2014.

- The *World Bank* conducted a stabilization and rehabilitation needs assessment of LRA affected areas in 2013 and could potentially expand its activities in the region in the future, although these plans are neither clear nor definite at this time.

4. Expected Results

This section outlines proposed elements of the activity design, including the development hypothesis, focus of activities, results framework, and critical assumptions. As described in more detail below, the Applicant may adapt these elements to fit into its current programming, if relevant.

4.1 Development Hypothesis

The Mbomou-Uele border region suffers from a state authority vacuum and instability that are unlikely to be resolved in the near future. Within this context, USAID believes that successful interventions will take into account the nexus between security, conservation, and development. USAID's hypothesis is that both community resilience to security threats and wildlife conservation in the Mbomou-Uele border region will be improved if the following intermediate results (IRs) are achieved:

- Capacity for wildlife conservation in Garamba National Park, Chinko Reserve, and other protected areas is strengthened. (IR 1)
- Communities are able to mitigate and adapt to security and conservation threats. (IR 2)
- Target communities are enabled to safely pursue pro-conservation livelihoods. (IR 3)
- Vulnerable populations' recovery from trauma is facilitated. (IR 4)
- Key intercommunal conflicts are resolved. (IR 5)
- Implementation of IR 1 to IR 5 is continually informed by ongoing research, analysis, and coordination. (IR 6)

Of these six IRs, this activity will contribute to IRs 2, 3, 4, 5, and 6. The activity will *not* contribute directly to IR 1, which is included here for information purposes only.

This hypothesis is based on an analysis of the security threats facing communities and wildlife, as well as the resources available in the region that allow communities to be resilient in the face of these threats. Most analysis of this region concludes that the primary security threats come from bandits and armed groups such as the LRA, which are able to operate with impunity due to a governance and security vacuum. These groups are largely motivated by access to natural resources such as ivory, gold, and diamonds. As a result, community security links closely to the responsible exploitation and protection of these resources.

For example, conservation actors in Garamba National Park, Chinko Protected Area, and Bili-Uele Reserve have found strong linkages between wildlife protection and human security. Armed groups that enter these areas to poach wildlife often target surrounding communities, as well. Analysts have found numerous correlations between poaching expeditions and incidents of pillage, forced labor, and murder. By reducing opportunities for poaching, USAID believes that these actors will be able to provide a more secure environment for local communities.

Similarly, community buy-in and support are key to combating wildlife trafficking. If communities are aware of how poaching contributes to insecurity, and are provided with the means and incentives to report wildlife crime, then armed groups will face further disincentives to poach. If conservation actors stay in regular contact with communities across the landscape, they will be better able to track and predict the movements of poachers.

Many communities in LRA affected areas live in isolation with little access to infrastructure, basic services, or information about threats. It can be logistically and financially challenging for security and humanitarian actors to reach these communities. To the extent possible, USAID proposes to work closely with other donor governments, UN initiatives, and NGOs to equip communities with the skills and tools necessary to mitigate security threats and recover from attacks that occur. USAID also intends to contribute to the collection, analysis, and sharing of information that can facilitate targeted interventions by the international community.

4.2 Focus of Activities

Given the vast territory and dispersed populations affected by the LRA and other armed groups, and the desire to have a sustainable impact through this activity, USAID proposes the following focus.

- Geographic Scope: The activity should work in the LRA-affected provinces of CAR and the DRC. In CAR, these could include Mbomou, Haut Mbomou, and Haute Kotto prefectures. In the DRC, these could include Bas Uele and Haut Uele provinces. Other areas of CAR may be considered, as well. This activity will not include interventions in South Sudan or Uganda, but coordination with complementary programming in these two countries might be necessary.

- Target Beneficiaries: Identification of target communities and populations should ideally be based on levels of vulnerability and security risk, while taking into account the practical security and logistical challenges of accessing these populations. Beneficiaries might include, for example, inhabitants of remote villages, pastoralists, displaced persons, inhabitants of artisanal mining camps, people living in and around protected conservation areas, former abductees and victims of armed groups, and communities that host reintegrated individuals.

- Nature of the Security Threat: Activities should focus on LRA-affected areas, but should strive to protect civilians from the range of armed groups that pose a security threat in the region. Given the high levels of crime and violence, this activity cannot reasonably respond to all security threats facing local communities. Rather, the activity will ideally seek to prevent mass atrocities and human rights violations perpetrated by armed groups and criminal networks as they traverse the region for natural resource trafficking, pillaging, and refuge from international justice. Interventions should also respond to impacts, such as trauma, that continue to be felt from past attacks.

4.3 Joint Results Framework

The results framework below presents the intended outcomes ("intermediate results" or "IRs") to be achieved by two USAID-funded programs that will contribute to the overall objective of improving community resilience and wildlife protection in the Mbomou-Uele border region in northeastern DRC and southeastern CAR. These two programs include: 1) the Community Resilience in Central Africa activity described in this NOFO; and 2) a series of counter-wildlife trafficking activities anticipated under USAID's CARPE program that will be awarded through separate mechanisms.

As indicated in the results framework, the Community Resilience in Central Africa activity should contribute to IRs 2 through 6. *Please note that IR 1 is not a part of this NOFO and is included for information purposes only.* Coordination with CARPE activities is expected to be a part of IRs 2, 3, 5, and 6. Coordination with other stakeholders—including international organizations, bilateral donors, NGOs, and local actors—is also expected to be a part of each element of this activity.

The Applicant will submit to USAID an application describing the interventions and approaches that will be used to implement the Community Resilience in Central Africa activity. The outputs and indicators described below are for *illustrative* purposes only and may be changed or adapted by the Applicant. Ideally, indicators should be designed to measure "outputs" (e.g. number of people trained), "outcomes" (e.g. number of conflicts resolved), and wherever possible, "impacts" (e.g. reduced loss of life and property). Given the uncertainty of future funding for C-LRA activities in this region, along with the likelihood that communities in the Mbomou-Uele border region will continue to face security threats for years, USAID expects that all interventions are sustainable at the end of the award.

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Note on acronyms used in *Table 1: Joint Results Framework* on the next page.

IR	Intermediate result
CRCA	Community Resilience in Central Africa activity described in this NOFO
CARPE	USAID's Central Africa Regional Program for the Environment
CARPE 1 / C-1	CARPE funding that has already been provided to the NGO African Parks for counter-wildlife trafficking in Garamba and Chinko parks
CARPE 2 / C-2	CARPE funding that will be provided for broader conservation work in the Mbomou-Uele border region
DRC	Democratic Republic of the Congo
CAR	Central African Republic

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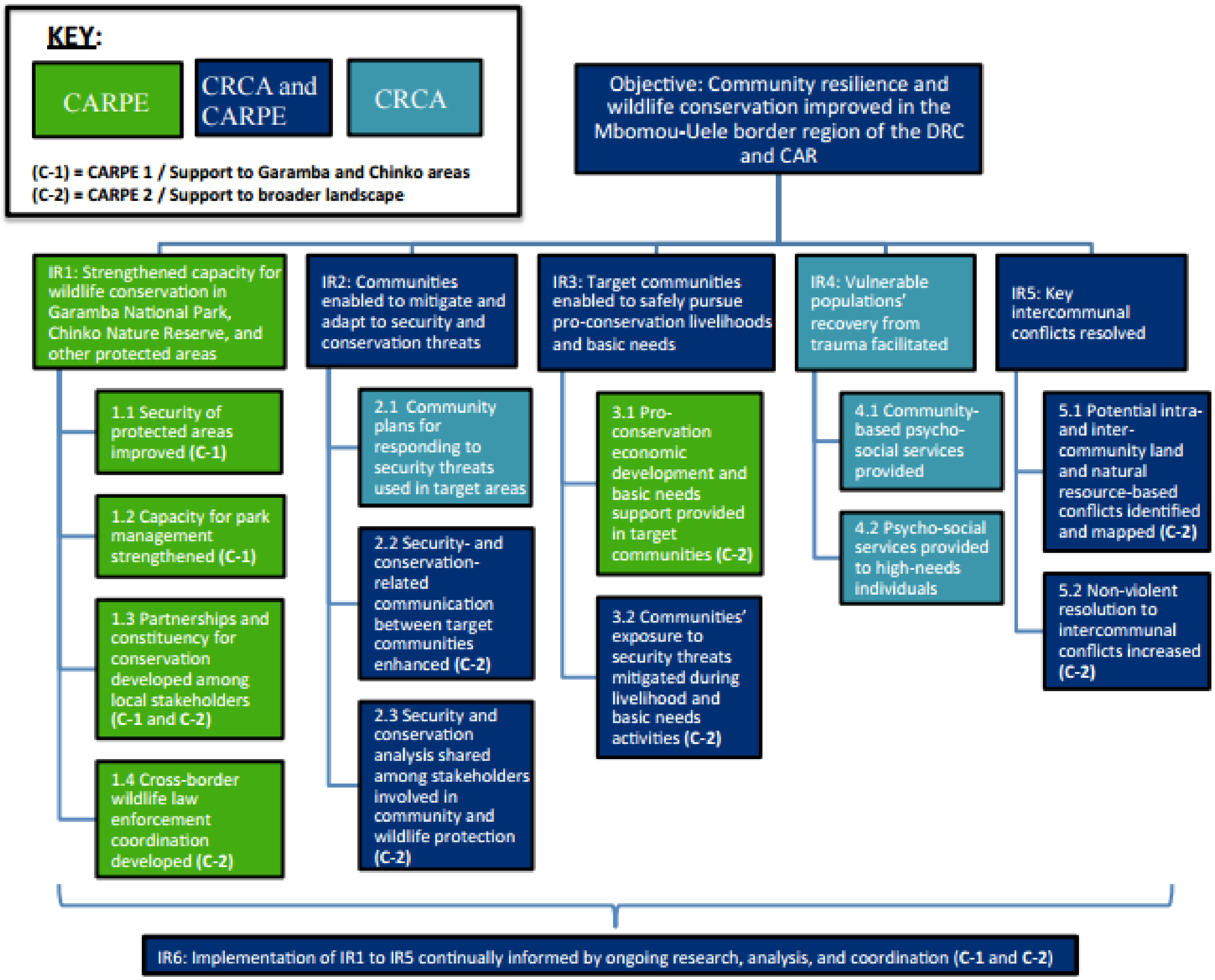
Table 1: Joint Results Framework



IR 1: Strengthened capacity for wildlife conservation in Garamba National Park, Chinko Reserve, and other protected areas

This intermediate result is ***not*** part of the activity described in this NOFO and is presented here for information purposes only.

The CARPE program is funding counter-wildlife trafficking measures in Garamba National Park and Chinko Reserve and will scale up its engagement across the broader landscape. These efforts will reduce the threats posed by poachers to elephants and other important species. CARPE activities and the Community Resilience in Central Africa activity described in this NOFO will overlap in several respects: protecting against the same armed groups, working in some of the same communities, and coordinating with the same stakeholders.

CARPE's counter-wildlife trafficking interventions related to IR 1 include, for example, capacity building for park rangers, infrastructure and technological solutions to combat wildlife trafficking, and raising community awareness. The successful Applicant for the Community Resilience in Central Africa award described in this NOFO should be aware of CARPE's work, coordinate where possible, and design interventions to contribute to the mutually dependent objectives of community protection and wildlife conservation.

IR 2: Communities enabled to mitigate and adapt to security and conservation threats

Most communities in LRA affected areas cannot count on an immediate security response in the event of an attack. Delivery of security and social services in this region is often hampered by conflict, limited communications, lack of resources, and poor infrastructure. As a result, USAID's intended approach is to ensure that communities are able to lead their own non-violent protection efforts, while host governments and the international community remain positioned to intervene in a targeted manner. In addition to providing support at the community level, USAID intends to promote action-oriented analysis that feeds into security and humanitarian decision-making at the local, regional, and international levels.

Sub-IR 2.1: *Community plans for responding to security threats used in target areas*. This Sub-IR ensures that target communities develop and implement their own plans to respond to security threats, in such a way that reduces their exposure to attacks. This is particularly relevant in circumstances where security forces are not able to provide immediate protection.

Sub-IR 2.1	Illustrative interventions • Security plans developed, operationalized, and practiced in target communities • Community protection committees set up in target communities to implement security plans, map out vulnerabilities, and liaise with external stakeholders
	Illustrative output indicators • Number of security plans in place • Number of active community protection committees • Number of simulations and rehearsals

	Illustrative outcome indicators • Surveys and focus groups that measure improvement in community perceptions of security with disaggregation of women's, men's, and children's views • Case studies illustrating successful implementation of security plans • Number of improvements identified in community self-monitoring exercises

Sub-IR 2.2: *Security- and conservation-related communication between target communities enhanced*. USAID believes that enhanced communication will place communities in a better position to receive early warning of threats to their own safety, warn other communities of possible threats, and contribute information to C-LRA and counter-wildlife trafficking missions. Outputs under this sub-IR should be conducted in coordination with CARPE programs, which might communications and technology systems, trends analysis, and other approaches to track poaching threats. Given the uncertainty of future C-LRA funding, USAID hopes to prioritize communication approaches that have sustainable revenue streams and maintenance capacities.

Sub-IR 2.2	Illustrative interventions • Early warning systems that build upon existing HF radio networks and link to systems put in place to counter wildlife trafficking • Incorporation of other technologies and traditional practices into the early warning system, as appropriate • Early warning systems that alert communities to security risks along frequently traveled roads and paths • Frequency modulation (FM) radio programming on wildlife conservation and security issues, including gender-based violence prevention and women's empowerment
	Illustrative output indicators • Number of HF radios in the early warning system • Number of FM radio stations supported • Number of FM radio episodes produced and broadcast
	Illustrative outcome indicators • Number of communities that connect and share security information with each other • Number of times that communities use security information received via HF or FM radios to adjust their security posture • Other indicators to be developed in coordination with CARPE's implementing partner in order to measure the joint impact of these activities • Focus groups and key informant interviews that review the effectiveness of early warning systems

Sub-IR 2.3: *Security and conservation trends analysis shared among stakeholders involved in community and wildlife protection*. Outputs under this sub-IR should be conducted in coordination with CARPE programs.

Sub-IR 2.3	Illustrative interventions • Trends analysis of armed group threats, humanitarian issues, and wildlife trafficking • Exchange of real-time information among stakeholders in a way that contributes to effective responses to security threats
	Illustrative output indicators • Number of key stakeholders in daily, weekly, monthly contact • Number of analytical reports provided to key stakeholders • Number of real-time security alerts provided to key stakeholders • Participation in multi-stakeholder forums
	Illustrative outcome indicators • Number of effective interventions by security and conservation actors in response to information flows • Other indicators to be developed in coordination with CARPE's implementing partner in order to measure the joint impact of these activities

IR 3: Target communities enabled to pursue pro-conservation livelihoods and basic needs

Throughout the Mbomou-Uele border region, many people live in remote villages or homesteads outside of the formal economy, unconnected to telecommunications networks, and beyond the presence of national governments. In northeastern DRC, people must often travel long distances through isolated terrain to obtain basic services such as health care and education. In CAR, basic services often do not exist at all, and the few roads that exist are impassable for part of the year. These conditions make civilians highly vulnerable to attack and decrease their ability to recover if an attack occurs. The Community Resilience in Central Africa activity described in this NOFO will contribute to Sub-IR 3.2 and is encouraged to coordinate with CARPE's interventions under Sub-IR 3.1.

Sub-IR 3.1: *Pro-conservation economic development and basic needs support provided in target communities*.

Sub-IR 3.1 is *not* part of the Community Resilience in Central Africa activity described in this NOFO and is presented here for information purposes only. The primary purpose of interventions under Sub-IR 3.1 will be to strengthen the livelihoods and basic needs of target communities in a pro-conservation manner. Providing such interventions is not envisioned as a part of the award described in this NOFO. However, the successful Applicant of this NOFO should be prepared to coordinate where appropriate. CARPE's interventions under Sub-IR 3.1 have not yet been determined but could potentially aim to strengthen agricultural livelihoods, provide alternative sources of income to bushmeat hunting, construct wildlife conservation education centers, or otherwise contribute to people's livelihoods and basic needs.

Sub-IR 3.2: *Community exposure to security threats mitigated during livelihood and basic needs activities*.

In coordination with efforts by CARPE and other donors to strengthen pro-conservation livelihoods and basic needs services, interventions under Sub-IR 3.2 will aim to reduce communities' exposure to security threats. Through targeted interventions, the award recipient should ideally help civilians to reduce their vulnerability to attacks as they pursue their livelihoods and basic needs. This might include micro-projects, and thus could have some overlap with Sub-IR 3.1. Due to limited funding available and logistical constraints, community expectations of these interventions should be carefully managed. Whereas interventions in Sub-IR 3.1 might be larger in scale, for example, interventions under Sub-IR 3.2 should be micro-level and should have improved security as their primary objective.

Sub-IR 3.2	Illustrative interventions • Awareness-raising projects that help communities to reduce their exposure to security risks while pursuing their livelihoods and basic needs • Micro-projects implemented in target communities, in coordination with similar efforts by other conservation and development actors, which reduce the need to travel outside the village to areas exposed to attack
	Illustrative output indicators • Number of awareness raising and micro-projects • Number of beneficiaries • Percentage of each community that benefits from the project
	Illustrative outcome indicators • Number of people demonstrating behavioral change as a result of each project • Surveys that measure the perceived effectiveness of micro-projects in reducing communities' exposure to security threats • Other indicators to be developed in coordination with CARPE's implementing partner in order to measure the joint impact of these activities

IR 4: Vulnerable populations' recovery from trauma facilitated

Instability in the Mbomou-Uele border region, especially due to the presence of the LRA, has uprooted a number of communities and disrupted social dynamics. Survivors of the conflict often struggle with trauma and even stigmatization in their own communities. Future security and stability in the region will depend in part on the extent to which people are integrated back into communities. However, targeting only ex-combatants for reintegration, especially in a region with such extreme poverty, could fuel resentment and thus be counter-productive. Reintegration and trauma healing support is needed by a wide range of people, including victims, former combatants, and host communities.

USAID takes a community-based and gender-sensitive approach to reintegration and trauma healing, in which the benefits are provided to victims, ex-combatants, and host communities alike. The award recipient should ideally use a combined approach to trauma healing: proposed interventions should target the community as a whole, such as trauma healing workshops. Other proposed interventions should support high-needs individuals, such as women and youths who have suffered severe trauma or stigmatization.

Sub-IR 4.1: *Community-based psychosocial services provided*. Past experience suggests that LRA-affected communities respond positively to interventions that strengthen community-wide understanding of trauma and prevent stigmatization.

<table>
<tr><td rowspan="3">Sub-IR 4.1</td><td>Illustrative interventions
Mapping and analysis of the supply and demand of trauma healing and reintegration services in LRA affected areas
Community-based trauma healing
Community-based training to prevent stigmatization of returnees
Awareness training on sexual- and gender-based violence (SGBV), including domestic violence
Community-based monitoring for SGBV perpetrated by combatants or community members, in a manner that respects victims’ privacy
Local capacity building on trauma healing and protection against SGBV
Identification and analysis of SGBV trends related to armed group attacks and abductions
Community-based reintegration assistance
Coordination where relevant with formal disarmament, demobilization, repatriation, resettlement, and reintegration (DDRRR) processes</td></tr>
<tr><td>Illustrative output indicators
Number of people trained, disaggregated by gender and age
Number of people who benefit from services, disaggregated by gender and age</td></tr>
<tr><td>Illustrative outcome indicators
Percentage of cases that experience successful reintegration with tracking over multiple years
Surveys that measure community perceptions of successful trauma healing
Surveys that measure community perceptions of successful reintegration of returnees
Evaluations of the extent to which local communities retain and practice information from training</td></tr>
</table>

Sub-IR 4.2: *Psychosocial services provided to high-needs individuals*. USAID recognizes that the dynamics of trauma are complex, and that certain individuals require support beyond what is provided at the community level. Particular attention should be paid to women and children.

Sub-IR 4.2	Illustrative interventions • Referrals by qualified personnel to support centers • Professional support for high needs individuals on mental health, physical health, and livelihoods issues
	Illustrative output indicators • Number of people who receive services, disaggregated by gender, age, etc. • Number of referrals
	Illustrative outcome indicators • Number of high needs individuals who demonstrate recovery • Percentage of high needs individuals who demonstrate recovery

IR 5: Key intercommunal conflicts resolved

Tensions between communities are high in the Mbomou-Uele border region, fueled in part by years of instability, discrimination, and the presence of armed groups. Conflicts are emerging, for example, as displaced families return to their homes to find their land occupied, and as competition for natural resources grows. Similarly, tensions are high between agricultural and pastoralist communities in some areas. Local leaders—such as traditional chiefs, elders, government authorities, businesspeople, civil society actors, and religious figures—could play a crucial role in resolving conflicts peacefully if equipped with the necessary tools to do so. Community members themselves must also be willing to participate in dispute resolution processes.

The award recipient will work with other USG agencies and international stakeholders to ensure that community leaders—both women and men—have the social cohesion skills to identify and resolve conflicts between communities. Simultaneously, USAID proposes to ensure that community members in high-risk areas recognize conflict risks, dispel rumors, and prevent escalation at an early stage.

Sub-IR 5.1: *Potential intra- and inter-community land and natural resource-based conflicts identified and mapped*. Conflicts (and potential conflicts) might relate, for example, to ongoing tensions between agricultural and pastoralist communities, disrupted norms for natural resource and land use following displacement of populations, access to artisanal mining sites, community relations with military and security forces, or historic ethnic and tribal tensions. Early identification might help to resolve tensions before they escalate. Outputs under this sub-IR should be conducted in coordination with anticipated CARPE activities related to land and natural resource management.

Sub-IR 5.1	Illustrative interventions • Mapping of existing and potential conflicts that could undermine peace and stabilization efforts in the region • Analysis and reporting on conflict risks and inter-community tensions • Linking of conflict mapping to the early warning system
	Illustrative output indicators • Number of analyses and studies conducted • Number of conflicts mapped
	Illustrative outcome indicators • Tracking of overall tensions and conflict trends in the target region

Sub-IR 5.2: *Non-violent resolution to community conflicts increased*. Outputs under this sub-IR should be conducted in coordination with anticipated CARPE activities that address conflicts over land and natural resources.

Sub-IR 5.2	Illustrative interventions • Peace committees to resolve conflicts • Conflict resolution training for local leaders, including women • Awareness raising among local leaders of security threats in the region • Participatory community theater and conflict de-escalation simulations • Community-based rumor management training • FM radio broadcasts to dispel rumors and promote social cohesion • Jointly designed micro-projects to foster social cohesion between groups • Coordination platforms between communities and local officials
	Illustrative output indicators • Number of active peace committees • Number of people trained • Number of radio broadcasts • Number of social cohesion activities
	Illustrative outcome indicators • Number of conflicts brought to peace committees for consideration • Percentage of conflicts resolved • Number of conflicts resolved • Number of complex conflicts that make positive steps towards resolution • Surveys that measure community perceptions of conflict resolution • Other indicators to be developed in coordination with CARPE's implementing partner in order to measure the joint impact of these activities

IR 6: Implementation of IR 1 to IR 5 informed by ongoing research, analysis, and coordination

Given the complex security and logistical operating environment, USAID anticipates that the award recipient will need to adapt its interventions over time. IR 6 accounts for the importance of creating a feedback loop for collaborating, learning, and adapting throughout the life of the activity. Implementation of IR6 will ideally include the following four components: (i) an initial mapping and field research phase, (ii) a collaborative, adaptive review one year into the activity in coordination with CARPE partners, (iii) strong coordination throughout the life of the activity, and (iv) continual generation of lessons learned and analysis.

Initial mapping and field research phase. USAID expects that an initial mapping and field research phase will inform programming on trauma healing, early warning systems, social cohesion, and other key topics.

One-year collaborative, adaptive review. After the first year activities under this award, USAID recommends that Community Resilience in Central Africa and CARPE award Recipients conduct a collaborative learning process to take stock of lessons learned, changes in the security situation, and other information in order to adapt programming as appropriate. While this process should be led by the Community Resilience in Central Africa and CARPE award Recipients, any resulting proposed changes to programming will require USAID's approved.

Coordination. USAID expects that the award recipient's approach will have a strong coordination component. In recent years, several international actors—the United Nations, the African Union, donor governments, military forces, and NGOs—have provided community protection and recovery support in LRA-affected areas. In such a complex, rapidly changing, and remote environment, coordination is critical. No single actor has perfect access to information about local conditions. USAID believes that activities to improve community resilience and wildlife conservation will require careful coordination among a wide range of organizations.

From a security perspective, the armed groups that pose a threat to local communities are highly mobile, traveling through remote areas where pursuit is difficult. According to USAID's 2015 Assessment:

> Ensuring the accurate and timely collection of information relating to the movements of armed groups, smuggling, [and] trafficking in the area…not only alerts stakeholders to security threats, it may also allow for the development of more anticipatory and/or preventative approaches to mitigate the impact of these threats.[25]

Coordination could also enhance this activity's development effectiveness. In particular, coordination can help to reduce costs by eliminating redundancies; maximize the use of scarce resources, such as air travel to remote regions; ensure that multiple actors within the same location have complementary approaches; and provide opportunities to leverage various pools of funding.

[25] USAID's 2015 Assessment, p. vi.

USAID strongly prefers that the implementer of the Community Resilience in Central Africa activity coordinate closely and proactively with other stakeholders in LRA-affected areas. This activity should align with activities of USAID's CARPE program, as indicated in the results framework above. USAID prefers that the implementers of this activity and CARPE activities identify joint indicators for measuring the overall impact of these efforts on the region.

Continual generation of lessons learned and analysis. Lessons learned and analysis should continually feed into USAID's and other stakeholders' C-LRA and counter-wildlife trafficking (CWT) efforts.

<table>
<tr><td rowspan="3">IR 6</td><td>Illustrative interventions
Facilitate the efficient and timely flow of information between international, national, and local stakeholders on security threats, avoiding duplication with other C-LRA stakeholders.
Achieve efficient and effective coverage of communities through the USAID and non-USAID HF radio early warning systems, avoiding duplication and coverage gaps.
Work with communities to liaise regularly with local authorities on security issues.
Conduct joint planning with the international community for any multi-actor interventions into local conflicts and humanitarian crises.
Co-plan interventions in villages and towns located near the environmental conservation areas of Garamba, Bili Uele, and Chinko with relevant donors and other stakeholders.</td></tr>
<tr><td>Illustrative output indicators
Number and frequency of coordination meetings
Number of stakeholders consulted, disaggregated by community members, local NGOs, international NGOs, government officials, UN agencies, etc.
Number of learning events</td></tr>
<tr><td>Illustrative outcome indicators
Case studies of enhanced outcomes as a result of coordination
Case studies of successful adaptation to security and logistical challenges
Tracking of coordination challenges identified and overcome</td></tr>
</table>

4.4 Critical Assumptions

This activity will be implemented in a complex, remote region where decisions must be made in the absence of perfect information. It has been designed under the following assumptions:

- In 2016, countries contributing security forces to the African Union's C-LRA Regional Task Force debated their continued engagement in the mission. Future levels of military engagement remain unknown at this time. Further reductions in C-LRA military forces or heightened instability in the DRC, CAR, or South Sudan could potentially result in a rise in armed group activities. Applicants to this NOFO should plan accordingly for multiple scenarios and should not base their proposals on the assumption that the African Union mission will continue at its current levels.

- Insecurity will continue to be a problem in the region, even if security forces succeed in removing Joseph Kony. Additionally, given the evolving composition and practices of the LRA, it will become increasingly difficult to distinguish between attacks by the LRA versus other armed groups. Thus, Applicants should design their proposals to account for community protection against and recovery from various armed group threats, rather than focusing solely on the LRA.

- Access to natural resources will continue to be a primary motivator for armed groups operating in the region. Applicants should incorporate the link between natural resources and conflict into their design.

5. Cross-Cutting Principles

Given the complex environment in which this activity will operate, USAID considers a number of cross-cutting principles to be integral components of this activity. The following elements should be incorporated into the application.

5.1 Security Sensitivity

This activity will be implemented in a volatile region where security constraints will affect operations. The successful Applicant should design a flexible and adaptable approach that accounts for different security scenarios. The Applicant should also be prepared to modify plans, including the possibility of relocating interventions, if the security situation necessitates. This extends to proposing new interventions, as long as they fall within the objective and intermediate results of the activity, and are submitted as a revised work plan for the Agreement Officer's approval.

5.2 Sustainability

The Recipient will be responsible for ensuring sustainability of the results of this Activity's interventions and the resultant achievements. USAID strives to design its activities to align with the priorities of local actors, leverage local resources, and increase local implementation over time to sustain positive changes. Geographical remoteness, poverty, corruption, and lack of state presence pose challenges to the sustainability of this activity. For further analysis of sustainability challenges related to C-LRA programming, please see USAID's 2015 Assessment.[26]

5.3 Conflict Sensitivity

All elements of the activity must demonstrate conflict sensitivity. Conflict sensitivity will be essential for ensuring that programming in LRA-affected areas achieves its intended outcomes.

[26] USAID's 2015 Assessment, pp. 48-51.

Recognizing that programming can have both positive and negative impacts, this activity will abide in all cases by the "do no harm" principle.

5.4 Coordination and Collaboration

As discussed above, coordination with other USAID implementers, USG agencies, host nation governments, international organizations, multiple donors, NGOs, and other stakeholders will be crucial for the success of this activity.

5.5 Gender

Gender factors will be an integral part of this activity's design. This includes, but is not limited to: accounting for gender differentiation of livelihoods needs, addressing gender-differentiated vulnerabilities to attack, responding to and preventing sexual- and gender-based violence, empowering women in decision-making related to activity implementation, and disaggregating indicators and data in activity reporting according to gender.

5.6 Environment

All USAID activities must minimize the potential for negative environmental impacts and maximize potential contributions to environmental conservation. This activity will need to comply with U.S. Government and USAID environmental impact monitoring and mitigation regulations. Under the supervision of USAID's Mission to the DRC, the activity is subject to an Initial Environmental Examination that will enable USAID to determine what environmental assessment and mitigation measures are required by the activity. As currently envisioned, this activity will likely have only small or negligible negative effects on the environment.

Nevertheless, it is important when designing the activity to consider how potential impacts on the local environment could negatively affect communities or wildlife. The activity should avoid exacerbating any existing environmental conditions, such as biodiversity loss, deforestation, or pollution of water or land. Certain components of this activity, such as small-scale construction or micro-projects, have the potential for negative environmental impacts that will need to be mitigated in accordance with USAID regulations.

5.7 Authority and Administration of Award

a. Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Mission to the Democratic Republic of Congo, seeks to support or stimulate the activities described above, and requests applications from eligible organizations (see Section C of this NOFO). The prime award resulting from this NOFO will be administered in accordance with the following:
    - 2 CFR 200 UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS. 2 CFR 200
    - 2 CFR 700 (USAID'S implementation of 2 CFR 200). 2 CFR 700

- Chapter 303 of USAID's Automated Directives System (ADS-303). ADS Chapter 303
- USAID Mandatory and Required-as-Applicable Standard Provisions for U.S. or Non- US Non-Governmental Organizations. See the following links: Standard Provisions for Non-US Non-Governmental Organizations Standard Provisions for US Non-Governmental Organizations

b. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds and shall serve as the primary agreement contact between USAID and the Recipient. The Agreement Officer's Representative (AOR) will serve as the primary technical contact between USAID and the Recipient.

c. 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.

[END OF SECTION A]

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SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide $24 million in total USAID funding over a five-year period. The ceiling for this activity is $24 million for one award. Actual funding amounts are subject to the availability of funds.

USAID intends to award one (1) Cooperative Agreement pursuant to this Notice of Funding Opportunity. USAID reserves the right to fund any one or none of the applications submitted. USAID may make an award on the basis of initial applications received, without discussions. Therefore, each initial application should contain the Applicant's best terms from a technical and cost standpoint.

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is five years. The start date will be upon the signature of the award, estimated on or about July 26, 2017. Performance of this award will begin with an initial mapping and field research phase and will be coordinated with the closeout of USAID's "Secure, Empowered, Connected Communities" activity that is scheduled to end on September 30, 2017.

3. Substantial Involvement

Consistent with ADS 303.3.11, USAID/DRC will be substantially involved in the implementation of Community Resilience in Central Africa Activity. The intended purpose of the Agreement Officer's Representative (AOR) involvement during the implementation of the activity is to assist the recipient(s) in achieving the supported objectives.

- Approval of Specified Key Personnel as concurred on by the AOR and approved by the Agreement Officer (AO): USAID will approve key personnel and future changes. Key personnel include the Chief of Party and the Deputy Chief(s) of Party.

- Approval of the Recipient's Implementation Plans by the Agreement Officer's Representative (AOR): USAID will approve (a) annual work plans, (b) the Monitoring, Evaluation, and Learning (MEL) plan, and (c) any significant adaptations to the work plan or MELP plan, for example changes based on coordination efforts or the evolving security situation.

- Agency and Recipient Collaboration or Joint Participation;

    (1) Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) Concurrence on the substantive provisions of sub-awards. 2 CFR 200.308 requires the Recipient to obtain the Agreement Officer's prior approval for the subaward, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. USAID also reserves further approval rights for sub-awards or contracts, specifically concurrence on the substantive provisions of the subawards.
(3) Approval of the Recipient's Monitoring and Evaluation Plan by the AOR.
(4) Monitoring by the AOR to authorize specified kinds of direction or redirection because of interrelationships with other projects. USAID monitoring will be required throughout the period of performance to continually facilitate its funding with that of other donors and activities.

- Agency Authority to Immediately Halt a Construction Activity: The Agreement Officer reserves the right to halt construction activities under the award, if applicable.

4. Title to Property

Property Title under the resultant Agreement shall vest with the Recipient in accordance with the requirements of 2 CFR 200.

5. Authorized Geographic Code

The Authorized Geographic Code is 937, defined as the United States, the Cooperating Country (the Democratic Republic of Congo), and developing countries other than advanced developing countries, and excluding prohibited sources. USAID's rules for the source of goods other than "restricted goods," are described in ADS 312 [http://www.usaid.gov/sites/default/files/documents/1876/312.pdf]).
The nationality of suppliers of goods and services (other than delivery services) is described in ADS 314 [http://www.usaid.gov/sites/default/files/documents/1876/314.pdf]).

These rules do not apply to procurement by the Recipient with cost-sharing or program income funds. For an accurate identification of developing countries, advanced developing countries, and prohibited sources, please refer to Automated Directive System (ADS) 310 entitled "Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID".

6. Purpose of the Award

The principal purpose of the relationship with the award recipient and under the subject activity is to transfer funds to accomplish a public purpose of community protection and recovery in LRA-affected areas of the DRC and CAR, which is authorized by Federal statute.

The Recipient will be responsible for ensuring the achievement of the activity's objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient, using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

7. Program Income

No program income is anticipated to be generated under the award(s) at this point. However, if program income generates during the implementation of the program, the Agreement Officer reserves his/her rights in determining exactly how that income will be treated and considered under the award, in line with 2 CFR 200.307. Otherwise, the following will be observed:

For U.S. Organizations, the following paragraph (e) (1) of the 2 CFR 200.307 must apply:

> "(1) Deduction. Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the Federal awarding agency authorizes otherwise. Program income that the non-Federal entity did not anticipate at the time of the Federal award must be used to reduce the Federal award and non-Federal entity contributions rather than to increase the funds committed to the project." For non-U.S. organizations, see the provision named "Program Income."

[END OF SECTION B]

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

Qualified U.S. and non-U.S. Non-Governmental Organizations (NGOs), U.S. Private Voluntary Organizations (PVOs), and U.S. and non-U.S. for profit firms (provided they forgo profit) may participate in this funding opportunity.

Additionally, pursuant to 2 CFR 200.400(g) and 2 CFR 700.13, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allowable and allocable expenses, both direct and indirect, which are related to the Agreement program and are in accordance with applicable cost standards (2 CFR 200, 2 CFR 700, Relevant OMB Circulars, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations), may be reimbursed under the Agreement.

Applicants must have established financial management, monitoring and evaluation, 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 that may entail a pre-award survey, by the Agreement Officer (AO). In the instance of a pre-award survey the AO will establish a formal survey team 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 welcomes applications from organizations which have not previously received financial assistance from USAID. Applicants are encouraged to utilize local expertise and local institutions whenever possible in implementing the program.

Applicants are limited to submit only one application in response to this NOFO.

2. Cost Sharing or Matching

USAID does not require cost sharing under this NOFO. Nonetheless, USAID recognizes that cost sharing may be an important element of the USAID-Recipient relationship. Accordingly, USAID welcomes Applicants who will pledge their own resources towards the activities for which they seek USAID funding.

If a cost share application is accepted and made part of an award, contributions must be supported by adequate documentation, be allowable under the applicable cost principles and meet the criteria set forth in 2 CFR 200.306. In-kind contributions are allowable as cost sharing in accordance with 2 CFR 200.306. Cost sharing contributions may include volunteer services provided by professional and technical personnel; valuation of donated supplies, equipment, and other property; and, use of unrecovered indirect costs.

Funds that are paid by the Federal Government through another source may not be used by an organization in cost share calculations (see 2 CFR 200.306). Cost share contributions must be reported on a periodic basis on payment forms, and USAID has the right to reduce its share of funding if the cost share reported is less than the agreed upon percentage or amount contained in the award. Grantees should be prepared to distinguish in their reporting the outputs and outcomes that result from cost share contributions versus USAID monies. If a difference remains after an award has expired, the Recipient may be required to refund the difference.

USAID does not apply its source and nationality requirements or the restricted goods provision established in the Standard Provision "USAID Eligibility Rules for Goods and Services" to cost sharing contributions. The AO may authorize the Recipient to attribute cost sharing contributions from sub-recipients to the prime award.

3. Risk Assessment

In order for an award to be made, the USAID Agreement Officer must evaluate the risks posed by applicants as outlined in 2 CFR 200.205 and ADS 303.3.9. This means that the Applicant must possess, or must have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In evaluating the risks posed by Applicants, USAID uses a risk-based approach and may consider:

i) Financial stability;

ii) Quality of management systems and ability to meet the management standards prescribed in this part;

iii) History of performance. The Applicant's record in managing Federal awards, if it is a prior Recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;

iv) Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits;

v) The Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities; and

vi) That the Applicant is otherwise qualified to receive an award under applicable laws and regulations (e.g., Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

In the absence of a positive risk assessment, an award can ordinarily not be made. Awards to potential new Recipients may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to make an adequate risk assessment. These organizations should take this into account and plan their implementation dates and activities accordingly.

[END OF SECTION C]

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Patrick J. Kollars
Supervisory Agreement Officer
USAID/DRC Office of Acquisition and Assistance
Mobil Building, 198 Avenue Isiro
Gombe – Kinshasa, Democratic Republic of the Congo
E-mail: pkollars@usaid.gov
Phone: +243 81 555 4430
Fax +243 81 555 3528

Questions and Answers: All questions regarding this NOFO should be submitted in writing to Malu Boyenge Acquisition and Assistance Specialist, mboyenge@usaid.gov, copying kinshasaoaa@usaid.gov and Patrick J. Kollars, Supervisory Agreement Officer at pkollars@usaid.gov. Questions should be submitted no later than **the date and time indicated in the cover page of this NOFO,** to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this NOFO.

Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Form of Application Submission

The Applicant is expected to review, understand, and comply with all aspects of the NOFO.

Application Format:

- All materials and supporting documentation must be in English.
- Times New Roman, 12-point font size.
- 8.5 inch by 11 inch (210 mm by 297 mm) paper.
- Single-spaced with margins no less than one inch on each border.
- Pages should be numbered consecutively.
- Technical and cost application should be separate from each other (i.e. separate documents/files).
- Text must be submitted in compatible Microsoft Word (or PDF with Optical Character Recognition) format and budgets as text accessible, Excel spreadsheets with formulas, if any, unlocked.
- Documents containing handwritten signatures may be scanned and submitted as PDF or other compatible format.

Preparation of Applications:

Each Applicant shall furnish all the information required by this NOFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, 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 that accompany it.

3. Application Submission Procedures

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time. USAID/DRC will only consider applications that are submitted on time, complete, and consistent with the submission requirements described in Section D of this NOFO.

Only electronically (by email) submitted applications will be accepted. No hard copy or fax applications will be accepted. Applications must be emailed only to: Malu Boyenge Acquisition and Assistance Specialist, mboyenge@usaid.gov, copying kinshasaoaa@usaid.gov and Patrick J. Kollars, Supervisory Agreement Officer at pkollars@usaid.gov. Applicants may upload applications to http://www.grants.gov; however, USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Therefore, USAID requires that all applications be submitted electronically (e-mailed) to mboyenge@usaid.gov, copying kinshasaoaa@usaid.gov and Patrick J. Kollars, Supervisory Agreement Officer at pkollars@usaid.gov.

Applications must be submitted by the time and date indicated on the cover sheet. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Please use the Agency Point of Contact if you experience difficulty with submission.

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 Business Application, Part 1 of 2".

Our preference is that the technical application and the cost/business 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 if instructions are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications 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 and file name 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.

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 technical application should be specific, complete, and concise. The application should demonstrate the Applicant’s capabilities and expertise with respect to achieving the goals of this activity. The application should take into account the requirements of the activity and merit criteria found in this NOFO.

The page length of the technical application must not exceed 25 pages, excluding annexes. Pages exceeding these limits will not be evaluated. Table of contents, dividers, charts, and maps are not subject to the page limitation. USAID encourages the Applicant to be as concise as possible and to provide only relevant information in the application.

All copies of the application must bear original signatures on the face page. This includes any pieces that may be submitted separately by third parties (e.g., references or letters confirming commitments from third parties that will be contributing a portion of any required cost sharing and/or the program implementation).

The technical application shall include the following sections:

a. **Cover Page (*not included in the page limit*)**
   - NOFO number
   - Activity title
   - Name of organization(s) submitting the application
   - Name and title of contact person within the organization(s)
   - Email address
   - Telephone and fax numbers
   - Postal and physical addresses
   - Signatures of person(s) submitting the application
   - Applicants should also state clearly whether the identified contact person has the authority to negotiate on behalf of the Applicant, or, if not, the contact information for the appropriate person with the authority to negotiate.

b. **Table of Contents (*not included in the page limit*)**

c. **Acronym List (*not included in the page limit*)**

d. **Executive Summary**

   1. Briefly describe the organization, including goal(s), purpose(s), target beneficiaries, anticipated results and outcomes;

   2. Briefly describe the relationship and/or coordination of the proposed parties involved with implementation of the program.

e. **Technical Approach**

In this section, the Applicant must demonstrate its understanding of the local context, technical requirements and development issues that the Activity aims to address; challenges, risks and opportunities related to achieving the objectives outlined in this activity description; and awareness of the roles of key stakeholders in implementation of the activity.

The application must, at a minimum, provide a full description of the proposed approach that spells out a credible strategy for achieving, or exceeding the objectives outlined in this activity description. Applicants are to thoughtfully assess the Program Description and propose solutions that take into account the development constraints and how the activity will be sustainable after USAID assistance is concluded. Substantive attention to gender, sustainability and youth should be integrated into the proposed approach.

Applicants must submit an illustrative Activity Monitoring, Evaluation, and Learning (MEL) plan in which they will conduct cost-effective and results-oriented monitoring that will provide USAID/DRC and the activity itself information to track progress, improve performance and effectiveness, as well as inform planning and management decisions. The draft Activity MEL Plan must include a description of the methodology for gathering and analyzing baseline data and for gathering outcome data or impact/results during each year of activity implementation.

The draft Activity MEL Plan must identify the specific indicators used to measure output, outcome and impact.

It is the Applicant's responsibility to ensure that all costs associated with the implementation of the Activity MEL Plan are included in the Cost application.

Applicants are expected to submit an illustrative first year Implementation Plan that corresponds to the technical approach being proposed.

f. **Management Approach and Key Personnel**

The application should include a detailed description of the proposed management approach for implementing the activity, including a description of each team member's role. The management approach should include:

- A strong and sustained field presence, including offices and project managers based in northeastern DRC and southeastern CAR with access to communities where activities are being implemented.
- Evident capability to carry out the objectives of this activity successfully.
- Demonstrated technical capabilities within the team and/or partners in the following areas: community-based protection, community empowerment, civil-military cooperation, conflict analysis, multi-stakeholder coordination, trauma healing, and community-based conflict resolution.

Key Personnel are those considered essential to the work being performed under this activity, and must be approved by USAID/DRC prior to their employment. The Applicant must propose well-qualified key personnel who will be responsible for managing and carrying out the Activity. The Applicant must describe the individual's previous qualifications, experience and capabilities, which demonstrate his/her capacity to successfully carry out the proposed program.

Applicants must also submit a staffing plan that lists all proposed positions under the activity, including Key Personnel (requiring USAID approval) and support staff. The applicant must specify whether the position is full-time, part-time, or intermittent, the position location, and the planned person months or days each position will devote to the activity. The staffing plan must demonstrate how it will attribute to the implementation of this activity. The Applicant must justify the underlying rationale for determining the staffing configuration. Brief position descriptions must be included.

Applicants are required to include curriculum vitae (CVs) of the Key Personnel implementing the Activity. The Applicant must include a brief summary for each of the key personnel, including the extent and nature of their experience in facilitating similar projects.

The total number of key positions will be two (2) positions. : (1) the Chief of Party; and (2) one or two Deputy Chief(s) of Party. Required qualifications for key personnel are as follows:

Chief of Party: The Chief of Party shall provide overall technical and administrative leadership and expertise, and serves as the primary liaison with USAID on management and technical matters. The Chief of Party position requires the following qualifications:

- At least 10 years of relevant management, supervisory, and technical experience.
- Technical expertise in two or more of the following areas: community-based protection, early warning systems, conflict mitigation, community development, trauma healing, and community participation.
- Minimum of a Master's Degree in a relevant field.
- Experience in building and effectively supervising a diverse team of employees.
- Fluent French; knowledge of local language(s) in the target region of CAR highly desirable.
- Experience in gender-sensitive programming and/or social protection interventions for women and children.
- Experience working in the DRC, CAR, or a similar environment.

Deputy Chief(s) of Party: The Deputy Chief(s) of Party should have the demonstrated capability to fulfill the role of the Chief of Party in that person's absence. The Deputy Chief(s) of Party position(s) require(s) the following qualifications:

- At least 7 years of relevant management, supervisory, and technical experience.
- Technical expertise in two or more of the following areas: community-based protection, early warning systems, conflict mitigation, community development, trauma healing, and community participation.
- Minimum of a Bachelor's Degree in a relevant field.
- Experience in building and effectively supervising a diverse team of employees.
- Fluent French; knowledge of local language(s) in the target region of CAR highly desirable.
- Experience in gender-sensitive programming and/or social protection interventions for women and children.
- Experience working in the DRC, CAR, or a similar environment.

Applicants are not expected to identify known non-key personnel; non-key position candidates will not be evaluated. The Applicant will clearly identify the roles and responsibilities of the Key Personnel positions, and provide a detailed explanation regarding how the education, capabilities, and experience of proposed Key Personnel will effectively contribute to a successful implementation of the program and achievement of the Program's objectives. Applicants must also submit three (3) references, with complete contact information (including e-mail addresses), for each proposed Key Personnel candidate.

Due to the cross-border nature of this activity, the remote operating environment, and multiple donors/implementers coordinating on this issue, the leadership team will need to travel frequently and coordinate remotely with other C-LRA and conservation actors.

Project management is expected to include cost and quality control of all tasks and assignments undertaken to achieve the program's objectives.

The candidates should have the demonstrated ability to work effectively with many types of people including USAID and other U.S. Government representatives, officials from various levels of local governments and traditional leaders, military and peacekeeping forces, conservation actors, humanitarian and advocacy NGOs, and others.

Prior to replacing any of the specified individuals identified in the NOFO, the implementing partner shall immediately notify the Agreement Officer at the USAID/DRC Mission, or her/his designated representative, reasonably in advance and will submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the result of this change on the activity. No replacement of key personnel may be made without the written consent of the Agreement Officer.

g. **Past Performance**

Applicants must describe all programs/projects/activities in which the primary Applicant (as well as any partners substantially involved in implementation i.e. receiving 25% or more of the total proposed activity cost) implemented similar programs over the past five (5) years. Detailed and specific past performance information should be provided as explained below under "Appendix A" – Relevant Past Performance Information. The Applicant should address any relevant performance issues related to past performance. USAID may contact references and use the past performance data regarding the organization, along with other information to determine the applicant's past performance. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

h. **Sustainability**

Applicants must describe the extent to which the proposed technical approach demonstrates potential for sustainability beyond the life of the activity. This includes how the activity will create community buy-in and ownership, how the activity will provide lasting benefits to communities, and how the activity will involve local non-governmental organizations.

i. **Appendices**

Appendices must include and are limited to ONLY the following (Appendices are separate documents from the 25 page Technical Application page limitation):

Appendix A - Relevant Past Performance Information Applicants must provide evidence of relevant past performance and clearly describe examples of successful development and implementation of programs similar to what is required under this RFA. Applicants must submit a list of the five most recent U.S. Government or other donor funded contracts, grants, cooperative agreements, etc. Include the following for each award:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award number;
- Amount of award;
- Period of Performance (begin and end dates of services/program);
- Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative (project officer, activity manager or other contact person) of that organization or agency; and
- Brief description of the program.

Similar information should be provided for every partner organization that would represent 25% or more of the total proposed project cost.

***Appendix B* –** Resumes/CVs for Key Personnel This section should include resumes for all Key Personnel candidates. Each resume may not exceed three (3) pages in length and the experience section must be in chronological order starting with most recent experience. Each resume for the proposed Key Personnel positions must be accompanied by a signed Letter of Commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

Appendix C - Illustrative Monitoring, Evaluation, and Learning (MEL) Plan

Appendix D - Staffing Plan

Appendix E - Illustrative First Year Implementation Plan

Appendix F **–** Geographic maps, if relevant

5. Cost/Business Application Format

USAID/DRC will perform an extensive cost and business analysis for the apparently successful Applicant(s). Therefore, the budget information required from the apparently successful Applicant should be in enough detail for USAID to determine whether the proposed costs for the Applicant's program are allocable, allowable and reasonable. The cost/business application is to be submitted under a separate cover from the technical application and the applicant is to use the attached mandatory budget template.

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

It is USAID policy not to burden Applicants with undue reporting requirements, so Applicants should limit their submission with the information that is readily available through other sources for certain of the documents that are required to be submitted by Applicants in order for the Agreement Officer to make a determination of responsibility.

There is no page limit on the cost/business application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NOFO is not desired. Elaborate art work and expensive visual or other presentation aids are neither necessary nor wanted.

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

a. Budget Narrative and Justification

The cost/business application should include a detailed budget narrative and justification that describes the total amount for implementation of the proposed activity. Please see the attached mandatory budget template to be submitted by the Applicant. 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. the organization's relevant policies, payroll documents, vendor quotes, etc.).

Applicants have discretion in how to allocate budgeted resources between the Intermediate Results described in Section A (Activity Description), so long as sufficient resources are dedicated to achieve each Intermediate Result.

b. SF-424 and SF-424A Forms

The Applicant must sign and submit the SF-424 and SF-424A standard forms. These forms can be accessed electronically at http://apply07.grants.gov/apply/FormLinks?family=15.

c. Detailed Budget

In addition to the budget narrative and justification, Applicants must submit a detailed budget for each activity year that includes the budget categories shown on the SF-424A Form and is attached as the mandatory budget template. The budget should be presented in Microsoft Excel format and should provide in detail the total costs for implementation of the activity. The *Mandatory Detailed Budget Template* to be used is as attached to this NOFO.

Applicants must provide a breakdown of all costs associated with the activity according to the costs of, if applicable, headquarters, regional, and country offices.

d. Local Staffing Costs

Below is a table representing the different professional levels and the corresponding pay range for the USAID Mission in the DRC. This table is provided as guidance to the prospective Applicants on what may be considered a reasonable cost for their local staffing:

Professional Level	Basic Salary		Allowances	
	Min	Max	Min	Max
12	$ 56,712	$ 87,907	$ 24,643	$ 35,452
11	$ 40,983	$ 63,525	$ 19,570	$ 27,639
10	$ 32,430	$ 50,280	$ 16,876	$ 23,395
9	$ 25,144	$ 38,965	$ 10,563	$ 15,400
7-8	$ 16,810	$ 28,555	$ 8,117	$ 11,930
5-6	$ 13,034	$ 22,062	$ 7,110	$ 9,883
3-4	$ 10,771	$ 18,209	$ 6,308	$ 8,667
1-2	$ 9,077	$ 15,322	$ 5,857	$ 7,756

e. Contractors and/or Sub-awardees

Applicants who intend to rely on partner organizations, contractors or sub-awardees must 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. The

Applicant should provide a breakdown of all costs according to each partner organization, contract or sub-awardee.

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.

If the Applicant has established a consortium or another legal relationship among its partners, the cost/business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and sub-Applicant(s), including identification of the Applicant with whom USAID will work for purposes of agreement administration, identity of the Applicant that will have accounting responsibility, how agreement effort will be allocated, and the express agreement of the principals thereto to be held jointly and severely liable for the acts or omissions of the other.

f. Negotiated Indirect Cost Rate Agreement (NICRA)

The Applicant must submit a NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA is in effect, the Applicant should submit both of the following:

- <u>Reviewed financial statements</u> that provide the user with comfort that, based on the accountant’s review, the accountant is not aware of any material modifications that should be made to the financial statements for the statements to be in conformity with the applicable financial reporting framework. During a review engagement, the accountant obtains limited assurance that there are no material modifications that should be made to the financial statements. Therefore, the objective of a review of the financial statements is to obtain limited assurance that there are no material modifications that should be made to the financial statements. A review does not contemplate obtaining an understanding of the entity’s internal control; assessing fraud risk; testing accounting records; or other procedures ordinarily performed in an audit. The certified public accountant issues a report stating the review was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation.

- <u>Audited financial statements</u> that provide the user with the auditor’s opinion that the financial statements are presented fairly, in all material respects, in conformity with the applicable financial reporting framework. In an audit, the auditor is required by auditing standards generally accepted in the United States of America (GAAS) to obtain an understanding of the entity's internal control and assess fraud risk. The auditor also corroborates the amounts and disclosures included in the financial statements by obtaining audit evidence through inquiry, physical inspection, observation, third-party confirmations, examination, analytical procedures and other procedures. The auditor issues a report that states that the audit was conducted in accordance with GAAS, the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework. The auditor may also issue a disclaimer of opinion or an adverse opinion if appropriate).The Application should not include compiled financial statements. Compiled financial statements are not accepted because the accountant does not obtain or provide any assurance that there are no material modifications that should be made to the financial statements. That is, USAID/DRC has no assurance that the organization is misrepresenting its costs on compiled financial statements, which puts the Agency at risk.

g. Cost Sharing

Cost sharing for this award is suggested, but not required and thus is not evaluated. If the Applicant intends to use cost sharing, the application should include an estimate of the amount of cost-sharing resources to be mobilized over the life of the Agreement, should specify the sources of such resources, and should indicate 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.

h. The Cost/Business Application Should Contain the Budget Categories as Shown on the SF-424A Form:

Direct Labor: Direct salaries, wages and annual increases for all personnel proposed under the application shall be in accordance with the Applicant's established personnel policies. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, is subject to review and approval at a high enough organizational level to assure its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed. Anticipated salary increases during the period of the agreement should be included.

Allowances must be broken down by specific type and by person and must be in accordance with the Applicant's established policies.

Fringe Benefits: Fringe benefits should be based on the Applicant's audited fringe benefit rate, supported by a Negotiated Indirect Cost Rate Agreement (NICRA) or historical cost data. If the latter is used, the budget narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Supplies and Equipment: Differentiate between expendable supplies and nonexpendable equipment, (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit, unless the Applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the program, specifying quantities and unit cost).

Travel and Per Diem: The narrative should indicate number of trips, domestic and international, and the estimated unit cost of each travel in accordance with the Technical Application. Proposed per diem rates must be in accordance with the Applicant's established policies and practices that are uniformly applied to federally-financed and other activities of the Applicant.

Other Direct Costs: This could include any miscellaneous costs such as office rent and utilities, communications, transportations, supplies, public outreach, audits, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the Applicant's normal coverage), etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

Proposed Sub-awards (contracts/grants) (if any): Applicants who intend to utilize subawardees who will be substantially involved in implementation (i.e. receiving 25% or more of the total proposed project cost), should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the Applicant. Subawards cost applications should follow the same cost format as submitted by the Applicant.

i. Assurances, Certifications and Representations, Evidence of Responsibility, and Certificate of Compliance

The cost/business application should include:

- Required Assurances, Certifications, and Representations: Apart from the certifications included in the Standard Form 424, any U.S. and/or non-U.S. organizations submitting applications in response to this NOFO must provide the Agreement Officer with the "Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provision." The signed and dated printout must then be submitted with the application *as an annex* to the Cost/Business Application. Original signed hardcopy of the certifications will be requested from the successful Applicant prior to the agreement award. Please see: https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

- Evidence of Responsibility: The Agreement Officer requires sufficient evidence to determine that the Applicant:
    - Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;

- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics;
- Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g. Equal Employment Opportunity).

- Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

- Organizational Information: Applicants are also required to provide the following organizational information (If applicable):
  - Type of Organization;
  - The name and title of individuals authorized to sign the Cooperative Agreement;
  - Taxpayer Identification Number (TIN), if applicable;
  - System for Award Management (SAM) registration status;
  - Data Universal Numbering System (DUNS) Number;
  - Letter of Credit (LOC) Number, if applicable; and
  - Estimated costs of communications products that are anticipated under the Cooperative Agreement.

j. Unique Entity Identifier and System for Award Management (SAM)

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

To comply with Dun and Bradstreet and SAM.gov requirements, the Applicant must:

- 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.
- Provide a valid unique entity identifier in its application.
- 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.

k. 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. However, it is USAID policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources. Applicants should <u>not</u> submit the information below with their applications. The information below is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer.

The information submitted should substantiate:

- By-laws, constitution, and articles of incorporation, if applicable.
- Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.
- The Branding Strategy and Marking Plan should not be submitted at this time. The Agreement Officer will ask only the apparently successful Applicant(s) to provide this.

6. Funding Restrictions

No reimbursement of pre-award costs is allowable under this funding opportunity unless otherwise authorized by the Agreement Officer by issuance of a pre-award expenses letter. In line with 2 CFR 200.209 and 200.458 Pre-award costs states: "Pre-award costs are those incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award and only with the written approval of the Federal awarding agency."

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.

[END OF SECTION D]

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SECTION E: APPLICATION REVIEW INFORMATION

1. Selection Criteria

Applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all Applicants submitting a responsive application will be separately evaluated for reasonableness, allowability, and allocability. While technical criteria are paramount, cost considerations may also be a factor for award.

The technical applications will be screened by a Technical Evaluation Panel, and the Agreement Officer will make the final decision on the award. Following the review of the applications, a letter will be sent to all Applicants detailing the outcome of the review. USAID reserves the right to determine the final funding level of the resultant award, which will be determined in part by the availability of funds.

2. Review and Selection Process

Applications will be reviewed to ensure they have met all the required elements as set forth in Section D to be determined by the Agreement Officer to be responsive to the NOFO. The application must be directly responsive to the terms, conditions, guidelines and provisions of this NOFO to be assured for consideration. Applications not conforming to this NOFO may be categorized as not meeting the minimum requirements of the Government, thereby eliminating them from further consideration.

a. Merit Review

USAID will conduct a merit review of all applications received that comply with the instructions and meet the eligibility requirements of this NOFO. Responsive applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance.

Technical Approach (Maximum = 40 points) The extent to which the proposed technical approach convincingly demonstrates the Applicant's understanding of the local context, technical requirements and development issues that the Activity aims to address; challenges, risks and opportunities related to achieving the objectives outlined in this activity description; and coordination with USAID's counter-wildlife trafficking activities and with other key stakeholders in the region. This includes contingency plans that account for various security scenarios and a detailed description of how lessons learned and analysis will feed into USAID's and other stakeholders' C-LRA and counter-wildlife trafficking efforts.
Management and Key Personnel (30 points) Extent to which the Applicant demonstrates the institutional capability to effectively implement this activity, including: technical expertise: a sound management and staffing plan: financial management: logistics: security: and an illustrative MEL

plan that demonstrates how the Applicant proposes to effectively measure changes in target communities' perceptions and behavior attributed to the activity. Extent to which the proposed staffing plan, including the proposed Key Personnel, convincingly demonstrate the ability to successfully and effectively implement the proposed program. This will also include the extent to which the key personnel have relevant qualifications, skills and experience that meet or exceed the requirements. Whether the staffing plan articulates clear roles and responsibilities for personnel with defined lines of management and oversight as well will contribute to the successful implementation of this activity.
Past performance (20 points) Extent to which the Applicant demonstrates previous or ongoing experience in achieving results on similar programs, as reflected in both the Applicant's institutional record and the experience of key personnel. This includes a proven track record of achieving results through community-based protection and recovery programs in an unpredictable security environment, problem-solving on logistical and physical access challenges in remote and insecure areas, and coordinating effectively with a wide and diverse range of stakeholders. Please provide three references that USAID can use to verify past performance. An Applicant's performance will not be evaluated favorably or unfavorably when: (1) The offeror lacks relevant performance history, (2) Information on performance is not available, or (3) The offeror is a member of a class of Applicants where there is provision not to rate the class against a sub factor. When this occurs, an Applicant lacking relevant performance history is assigned a "neutral" rating and will not be evaluated favorably or unfavorably on performance. Prior to assigning a "neutral" past performance rating, the contracting officer may take into account a broad range of information related to an applicant's performance.
Sustainability (10 Percent) Extent to which the proposed technical approach demonstrates potential for sustainability beyond the life of the activity. This includes how the activity will create community buy-in and ownership, how the activity will provide lasting benefits to communities, and how the activity will involve local non-governmental organizations.

Applicants are reminded that the U.S. Government is not obligated to make an award on the basis of lowest proposed cost or to the Applicant with the highest technical evaluation score.

b. Cost Evaluation

While cost is less important than technical factors and is not weighted, the cost applications of the apparently successful technical applications will be evaluated for cost effectiveness. Other key considerations during the cost evaluation include cost effectiveness, the completeness of the application, adequacy of budget detail, and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability in order to be measured for a responsibility determination.

The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the activity. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, the estimated cost to the U.S. Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

Cost sharing is suggested, but not required under this NOFO, thus will not be evaluated. The Applicant should account for any cost sharing in its application. Leveraged non-USAID resources from private firms and institutions, direct funding, beneficiary contributions, in-kind assistance, or a combination thereof may be considered part of cost share. USAID shall make the final determination and assess whether or not the Applicant's cost share contributions (e.g. categories or items) meet the standards set in 2 CFR 200.

[END OF SECTION E]

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

The successful Applicant(s) will receive a notice of award signed by the Agreement Officer as the authorizing document.

Award of the agreement contemplated by this NOFO 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, potential Applicants 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 further information on how the award will be administered, please see the applicable provisions:

> Award to U.S. organizations will be administered using 2 CFR 700, 2 CFR 200, and the governing Standard Provision is covered by ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable, and found via the following link: https://www.usaid.gov/ads/policy/300/303maa
>
> For non-U.S. organizations, the prevailing Standard Provision consists of ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations: https://www.usaid.gov/ads/policy/300/303mab

The electronic copies of the 2 CFR 200 and 2 CFR 700, respectively, are accessible via the following links:

> For 2 CFR 200: http://www.ecfr.gov/cgi-bin/text-idx?SID=1b472774f0a1e84d725c7ca14618e8ac&node=pt2.1.200&rgn=div5
>
> For 2 CFR 700: http://www.ecfr.gov/cgi-bin/text-idx?SID=a83ef9a1a60aaef148a60c99d6ef2dbc&mc=true&node=pt2.1.700&rgn=div5

The applicable standard provisions will be attached to the final award document.

3. Reporting Requirements.

Pursuant to 2 CFR 200.327: "Unless otherwise approved by OMB, the Federal awarding agency may solicit only the standard, OMB-approved government-wide data elements for collection of financial information (at time of publication the Federal Financial Report or such future collections as may be approved by OMB and listed on the OMB Web site). This information must be collected with the frequency required by the terms and conditions of the Federal award, but no less frequently than annually nor more frequently than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes, and preferably in coordination with performance reporting."

Financial Reporting:

Financial reports will be due on a quarterly basis and will include budget versus the actual expenditures, along with a brief analysis of any variance. Reporting periods will coincide with the USAID/DRC fiscal year quarters, with reports due no later than forty five (45) days after the end of each quarter, i.e. due dates on February 15th , May 15th , August 15th and November 15th.

a. The recipient(s) 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(s) must submit a copy of the Federal Financial Report (FFR) SF-425 at the same time to the Agreement Officer (AO) and the Agreement Officer's Representative (AOR). Financial Reports shall be in keeping with 2 CFR 200.327. The Recipient(s) must also submit an electronic copy of the quarterly and final reports to the Controller, USAID/DRC/OFM, at KinshasaOFM@usaid.gov.

b. The recipient(s) must also submit an electronic copy of all final financial reports to USAID/Washington, M/CFO/CMPLOC Unit, Agreement Officer, and the AOR. The recipient must submit an electronic version of the final Federal Financial Report (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (a) above. (Such the reporting requirements serve in liquidating payments).

   The SF 425 form and instructions are available on GRANTS.GOV website.

Performance Reporting:

The Recipient shall submit an electronic copy of the following reports in English to the Agreement Officer Representative (AOR) for approval:

a. Initial Research Phase

- Draft Implementation Plan for initial research phase: The Draft Implementation Plan for the initial research phase must be submitted as an annex to the technical application. After award, a revised Implementation Plan is due no later than 30 days after the effective date of this award. At minimum, this work plan shall cover plans for initial field research and planning phase and should specify the baseline information to be collected to assist with future monitoring of results, as well as the timeframe for the end of this phase.

- Summary of findings: By the end of the research phase, the recipient shall provide the AOR with a report or Powerpoint presentation summarizing key findings and baseline data collected.

b. Annual Implementation Plans and Budgets

- Draft Initial Implementation Plan: The Draft Initial Implementation Plan must be submitted as an annex to the technical application. After award, a revised Initial Implementation Plan is due 30 days after the end of the initial research phase on a date to be agreed with the AOR, but no later than September 30, 2017. Attached to the Initial Implementation Plan, the Recipient will provide a MEL Plan. USAID will provide written comments to the Recipient. Should the Initial Implementation Plan or the MEL Plan require further revision, the Recipient will revise and submit the revised implementation plan no later than 15 days after receipt of comments. If acceptable, the USAID Agreement Officer Representative (AOR) will provide a written approval of the final Initial Implementation Plan to the Recipient. Failure to have an approved implementation plan in place may be viewed as a failure to comply with essential terms and conditions of the award. Significant revisions to the approved implementation plan will require the additional written approval of the AOR (and may require a revision to the approved MEL Plan.

- Implementation plans will identify a logical sequence of steps to be undertaken to implement each program component and must include an associated timetable. The Recipient may not include activities in the implementation plan that fall outside the parameters of the program description. The Recipient's annual implementation plan will describe how the Recipient intends to organize the upcoming fiscal year's work including setting activity priorities and how the Recipient will organize responsibilities amongst Recipient staff to ensure accomplishment of the tasks. The implementation plan will address how the Recipient will make effective use of any time during which counterparts are not readily accessible or actively engaged such as holidays.

- The Implementation Plan, at a minimum, is to include:
    - A systematic presentation (i.e., Gantt chart) of activities to be accomplished under the different components and sub-components, on a monthly basis;
    - The proposed location of the activity;
    - The anticipated outputs and outcomes from each activity conducted;
    - The anticipated level of effort required from program technical staff and financial resources required to complete the tasks in the form of a budgetary forecast;
    - The identification of any assumptions used in preparing the implementation plan, as well as suggested alternatives if necessary;

- The anticipated risks with regard to achieving the anticipated objectives of the program and how they will be mitigated; and
- Any specific award terms or conditions that interfere with maximizing the developmental impact of the award.

- Annual Implementation Plans: Subsequent annual implementation plans will cover each fiscal year (October 1 – September 30) and are due no later than 30 days before the beginning of each USG fiscal year (October 1), to ensure that the new implementation plan will be in place prior to commencement of the new fiscal year. These plans will follow the same format as the initial implementation plan and should also include an updated MEL Plan, if appropriate. The subsequent annual implementation plan shall include program adjustments reflecting lessons learned from prior year implementation.

- Modifications Based on Security, Coordination, and Collaborative Learning: Note that the Applicant might need to modify work plans from time to time based on coordination and collaborative learning efforts described in Section A (Activity Description) and due to changes in the security situation. These modifications shall be determined in collaboration with the AOR.

c. Monitoring, Evaluation and Learning MEL Plan

- The Recipient is required to have a MEL Plan capable of tracking and documenting progress against activity components. The MEL Plan should cover the entire life cycle from the award date through the estimated completion date and may be adjusted based on any changes in planned activities. The MEL Plan should reflect the award progress over the life of the activity and it is considered a critical tool for planning, managing, documenting, and evaluating performance. The MEL Plan should be reviewed and validated annually, and revised if appropriate.

- The MEL Plan is due no later than 90 days after the effective date of this award.

- The MEL Plan must be based on the illustrative plan submitted with the Applicant's proposal, but include edits to coordinate with counter-wildlife trafficking programming, and as directed by USAID. The MEL Plan will include:

1. Program Briefer: and introduction about the program deliverables/results and explanation of various MEL parts of the document.
2. A Results Framework (RF) and simplified Foreign Assistance Framework that reflect the objectives described in the award;
3. The indicators that will be used to assess progress towards the Program goals and intermediate results;
4. Methodology and plan for data collection, review, analysis, reporting and internal control system, and the parties responsible for data collection and analysis. Indicators tracking table that includes all indicators with targets for

various fiscal years, sex disaggregation, and baseline data or the plan and timeline for gathering the baseline data;
5. The estimated cost associated with implementing this Program MEL Plan;
6. The Data Quality Assessment (DQA) plan and procedures;
7. The Evaluation Plan and how the evaluation results will be used to inform Program implementation; and
8. A description of how gender considerations will be integrated into program implementation and the monitoring and evaluation.

d. Quarterly and Annual Reports

- The Recipient will submit quarterly performance reports and financial allocation summaries to USAID to reflect progress and activities of the preceding quarter. The report will describe the tasks completed in the last quarter relative to what was anticipated by the approved implementation plan, and will assess overall impact to date relative to the performance indicator targets.

- The quarterly reports will highlight any issues or problems affecting the schedule or impact of services provided by the Recipient. The reports will include financial information on the expenses incurred, available funding for the remainder of the activity and any variances from planned expenditures. All data and output reporting will disaggregate data by gender. Quarterly performance reports will present progress on all activities and will include the following information, at a minimum:
    1. Brief outline of purpose and approach;
    2. Overall status of progress towards objectives (narrative);
    3. Status of overall progress per the approved indicators as defined in the MEL Plan ;
    4. Summary of completed activities and progress towards results under this award during the timeframe of the report;
    5. List of reports/deliverables completed in the reporting period;
    6. Explanation of quantifiable outputs of the tasks, if appropriate and applicable;
    7. Reasons why established targets were not met, if appropriate;
    8. Description of any short-term consultants' progress and observations, identifying any significant issues, and a description of follow-on activities;
    9. Status of budget expenditures and analysis of any cost overruns or high unit costs (the Recipient shall immediately notify USAID of developments that have a significant impact on award-supported activities);
    10. Identification of problems, delays or adverse conditions that impair the ability to meet the objectives of the award, including a statement of the action taken or contemplated, and any assistance needed to resolve the situation;
    11. List of major activities planned for the next quarter;

12. The use of Small and Disadvantaged Business relative to the target identified, if applicable;
13. Any relevant constraints or impediments that have affected or will affect Program performance, including any terms and conditions contained in the award;
14. Programed USAID approvals, waivers or deviation requests anticipated during the next quarter;
15. The status of required audit processes including for sub-awardees, if applicable.

- There will be four reports due each year. The reports will be due no later than December 31, March 31, June 30, and September 30 of each year.

- USAID encourages the recipient to provide photographs, maps, and other graphics that can support the Agency's outreach to the U.S. Government and other stakeholders.

- The Annual Report will cover all of the items included in the quarterly reports, with a focus on results over the entire award fiscal year. The annual report will be used by USAID to assess the status of the activity in relation to the time remaining for performance. Each annual report will include an assessment as to whether the objective of the award will be accomplished within the remaining time and available resources. The Recipient must submit annual reports in lieu of the 4th quarterly report each year to the AOR and to the Agreement Officer. The annual report must be submitted no later than 30 days after the end of each fiscal year other than the last year of contract performance, when the final report will be submitted.

e. Demobilization Plan

- The Plan will include, at a minimum, an illustrative Property Disposition Plan addressing all requirements under contractual and local law for the transfer of property; a plan for the phase out of the award's operations; a delivery schedule for all reports or other deliverables required under the award; and a timeline for completing all required actions in the Demobilization Plan, including the submission date of the final Property Disposition Plan to the Agreement Officer.

- Both the illustrative and final Property Disposition Plans must include the inventory schedule required by 2 CFR 200.313, a plan for the disposition of property to eligible parties and a timeline for the disposition of such property. In addition, the Recipient will describe how all required prime and sub-award audits will be conducted after the demobilization of the Recipient. The Demobilization Plan must be approved in writing by the AOR and the Agreement Officer.

- The Plan is due not less than four months prior to the completion date of the award, the Recipient must submit a Demobilization Plan.

f. Program Final Reports

- The Final Report will provide a summary description of all work performed under the award and a substantive discussion of results achieved (as measured by performance indicator). The Final Report should include the final status of each component objective, the status of indicators relative to the established targets, lessons learned, ways to resolve any constraints identified, any opportunities for further refinement, enhancement, logical extension, or expansion of the completed work and how it fits into USAID's strategic objectives, any perceived problems, vulnerabilities, or weaknesses in the assistance provided, with recommendations for addressing the identified weaknesses, and a summary of lessons learned, and any particularly important success stories. The final report must also contain an index of all reports and informational products produced under this program.

- Along with the Final Report, a CD-ROM depository must be submitted, containing all written documents, reports and presentations. The depository must be organized in a user-friendly and searchable manner.

- The Final Report is due no later than 90 calendar days after the completion date of this award.

Development Experience Clearinghouse Requirements

Development experience is the cumulative knowledge derived from the planning, design, implementation, evaluation, and results of international development assistance programs. The repository for USAID's cumulative knowledge is the Development Experience Clearinghouse (DEC), the largest online resource of USAID-funded technical and programmatic materials.

The products of development activities include many types of materials: text, images, video, audio, maps, charts, and raw data. All of these products, except structured data or datasets (CSV, JSON, XML, etc.), must be submitted for inclusion in the DEC database. Raw data created or obtained with USAID funding must be submitted to the Development Data Library (DDL) in compliance with ADS 579, USAID Development Data. ADS Chapter 540 only covers the submission of information products to the DEC.

Materials must be submitted through the public-facing and searchable DEC Web site (https://dec.usaid.gov/dec/content/submit.aspx) or through the U.S. Postal Service delivery to the following address:

USAID Development Experience Clearinghouse
M/CIO/ITSD/KM
Ronald Reagan Building M. 01-010
U.S. Agency for International Development
Washington, DC 20523-6100

Note: Mail sent to USAID via the US Postal Service undergoes security and irradiation processing. To send sensitive items, like CDs or DVDs, please contact the DEC team at ksc@usaid.gov to arrange delivery. For questions on DEC submissions, contact:

Knowledge Service Center
M/CIO/ITSD/KM/DEC
Telephone: +1 202-712-0579
Email: ksc@usaid.gov

Branding and Marking:

Applicants are not required to submit a Branding and Marking plan with their applications. However, Applicants are requested to note that in accordance with 2 CFR 700.16 USAID will require the submission of a Branding Strategy and a Marking Plan prior to award. The Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.16 The AO evaluates the Branding Strategy and Marking Plan (including any requests for exceptions) for approval consistent with the regulations contained in AAPD 05-11, 2 CFR 700.16, and ADS 320.

It is a Federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961 as amended and 2 CFR 700.16) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and a Marking Plan by the "apparently successful Applicant." The apparently successful Applicant's proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.16.

The apparently successful Applicant will develop a Branding Strategy and Marking Plan(BS&MP) to ensure the program and publicity materials clearly communicate that assistance from the U.S. Government is made possible by the generous support of the American people. Successful recipients will agree to follow the branding strategy and marking policies established for assistance awards under ADS Chapter 320. The details of these policies and the official USAID Graphic Standards Manual, which includes guidelines on proper logo use and positioning, verbal branding and attribution, and cobranding with implementing partner logos can be found on the USAID website at www.usaid.gov/branding. Adhering to these guidelines in the ADS and the Graphic Standards Manual are compulsory for all USAID funded program and communications materials.

USAID will notify the apparently successful Applicant for the draft BS&MP. The approved BS&MP will be attached with the award.

If the Administrator has provided a written determination for use of an additional or substitute logo or seal and tagline representing a presidential initiative or other high level interagency federal initiative, identify the alternate branding and marking standards to be used in the award see 2 CFR 700.16 or, for non-U.S. organizations, see the provision entitled "Marking and Public Communications Under USAID-Funded Assistance."

The AO reviews and approves the apparently successful Applicant's Branding Strategy and Marking Plan (including any requests for exceptions), consistent with the provisions "Branding Strategy," "Marking Plan," contained in the Certifications, Assurances, Other Statement of the Recipient and Solicitation Standard Provisions, and "Marking and Public Communications Under USAID-funded Assistance" contained in ADS 303maa, Standard Provisions for U.S. Nongovernmental Recipients and ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations, 2 CFR 700.16, and ADS 320, Branding and Marking.

In contrast to "exceptions" to marking requirements, waivers to these requirements based on circumstances in the host country must be approved by the cognizant Mission Director or other USAID principal officer [see 2 CFR 700.16(5)].

Any questions about the applicability of either the Standard Provisions or 2 CFR 700.16 may be directed to General Counsel/Acquisition & Assistance (GC/A&A) or USAID's Senior Advisor on Brand Management.

Environmental Compliance

The following details how the USAID will ensure environmental soundness and compliance in design and implementation in accordance with the 22 CFR 216's determination (https://www.usaid.gov/our_work/environment/compliance/22cfr216).

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 (https://www.usaid.gov/sites/default/files/documents/1870/200.pdf), which in part require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

The recipient(s)'s environmental compliance obligations under these regulations and procedures are specified in the following paragraphs:

- No activity funded under an agreement 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."

- In addition, the recipient(s) 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.

- If USAID determines under the IEE that *Negative Determination with Conditions* applies to one or more of the proposed activities, this indicates that if these are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient(s) shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this Agreement.

- As part of its initial Work Plan, and all Annual Work Plans thereafter, the implementing partner in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities to determine if they are within the scope of the approved Regulation 216 environmental documentation.

- If the recipient(s) 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.

- 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.

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(s) shall prepare an EMMP or M&M Plan describing how the Recipient(s) 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.

- Integrate a completed EMMP or M&M Plan into subsequent Annual Work Plans into the initial work plan.

- 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.

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The contact information, names and addresses of point of contacts, for this NOFO is as follows:

1. **Agreement Officer for the Award(s) resulting from this NOFO:**

Patrick J. Kollars
Supervisory Agreement Officer
Office of Acquisition and Assistance (OAA)
USAID/Democratic Republic of the Congo
E-mail Address: pkollars@usaid.gov

2. **Point of Contact for Questions while the NOFO is open:**

Malu Boyenge
Acquisition and Assistance Specialist
USAID/Democratic Republic of the Congo
Email: mboyenge@usaid.gov copying kinshasaoaa@usaid.gov and pkollars@usaid.gov

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SECTION H: OTHER INFORMATION

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

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