Issuance Date: February 01, 2021

Closing Date and Time for Submission of Questions: February 12, 2021, 02:00 PM India time

Closing Date and Time for Submission of Concept Paper: March ~~0~~23, 2021, 02:00 PM India time

Subject: Notice of Funding Opportunity (NOFO) Number: **72038621RFA00001** for Trees Outside Forests in India (TOFI) Activity, Amendment # 1

Project Title: USAID's **Trees Outside Forests in India (TOFI) Activity**

Ladies/Gentlemen:

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 a program entitled "Trees Outside Forests in India (TOFI) Activity". Eligibility for this award is not restricted. The authority for the NOFO is found in the Foreign Assistance Act of 1961, as amended.

USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection 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. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety. 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.

Please be aware that this NOFO contains three merit review phases:

Phase 1: Applicants will submit an Initial Application, which will include a 10 page concept paper. Based on USAID's evaluation of the Initial Applications, only the top applicants will be invited to participate in Phase 2.

Phase 2: Selected applicants from Phase 1 will be invited to participate in an oral presentation to briefly present their proposed technical approach and respond to USAID questions through the video conference.

Phase 3: One or two applicants, whose application best meets the objectives of this funding opportunity based on the Merit Review criteria contained herein, will be selected to co-create the final concept based on the apparently successful applicant's concept with USAID, a program description, which will be incorporated into the resulting Cooperative Agreement. USAID will evaluate the resulting final program description and the accompanying cost application from the applicant and grade it as acceptable or not acceptable.

USAID intends to make an award to the successful and responsible applicant whose application best meets the requirements of this NOFO and the Merit Review 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, many or none of the applications submitted. The finally selected applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NOFO.

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 as required. 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 software 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.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section C.1. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

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 Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

/s/

Armando Espinosa
Regional Agreement Officer
USAID/India

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SECTION A: PROGRAM DESCRIPTION

A.1 Authorizing Legislation

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in Section F.

A.2 Program Framework

A.2.1 Purpose

The purpose of the Trees Outside Forests in India (TOFI) activity is to expand the planting of trees outside of forests in India for enhanced provision of ecosystem services, especially carbon sequestration, and increased inclusive economic opportunities. Through the TOFI activity, USAID/India will support the Government of India (GoI) and other stakeholders to increase the uptake of trees outside of forests in India by: strengthening an enabling environment that promotes and incentivizes planting of trees; increasing economic opportunities from trees outside of forests; and improving access to information to help scale TOF in the country.

A.2.2 Problem Statement

In India's context, Trees Outside Forests (TOFs) refers to all trees growing outside the government's Recorded Forest Area (RFA). It includes trees growing on private land and farms; in urban areas; along linear infrastructure such as roads, railway lines, canals; plantations in and around industrial areas; shelterbelts; and in land belonging to government and other institutions; etc. TOFs on farms and other private lands provide income and sustenance for farmers from timber, fuelwood, fruits and other products. These TOFs play a critical role in the economy of many developing countries, including India[1]. Additionally, TOFs are important in promoting cultural, social, and ecological functions that are important to human livelihoods[2]. TOFs also sequester carbon, stabilize soil, filter water and air, regulate water flow, and perform other ecosystem services. When planted along roads and canals, in institutional areas or within urban landscapes, TOFs provide shade to cool microclimates, absorb some air pollutants, beautify green spaces, provide nesting and habitat for birds and other small animals, help to regulate stormwater, and contribute to human well-being.

In India, about a quarter of the population – roughly 300 million people – depends on forests for sustenance and livelihoods. This places extreme pressure on forests in the country, leading to increased forest degradation and loss of the goods and services that forests provide.

TOFs can help to reduce forest degradation by providing additional sources of fuelwood, fodder, timber, bamboo, and other tree products (*e.g.*, fruits, nuts). In India, agroforestry - a large subset of TOF, is being practiced by farmers in various forms. Agroforestry efforts help to

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[1] H de Foresta, E Somarriba, A Temu, D Boulanger, H Feuilly and M Gauthier. 2013. Towards the Assessment of Trees Outside Forests. Resources Assessment Working Paper 183. FAO Rome.

[2] *Ibid*

provide goods and services which otherwise may have been sourced through clearing and cutting forests. In other words, TOFs can alleviate some pressure on natural forests.

Despite these benefits, TOFs are an under-utilized strategy for achieving local, regional, and national objectives for rural livelihoods, income generation and employment, water security and ecosystem health, and international commitments related to tree cover, carbon sequestration, and land rehabilitation. The Trees Outside Forests in India (TOFI) activity aims to alleviate some of the impediments to TOFs so that India can better optimize the contributions TOFs can make toward these objectives. Several of these challenges and impediments are outlined in the subsequent sections.

A.2.3 India's forestry context

India has more than 700,000 square kilometers of forest cover, or about 21.7% of its total geographic area. This represents an increase of almost 4,000 km^2 (397,600 ha) in the past two years. [3]In addition, tree cover on areas not counted as forest occupies more than 95,000 km^2, another 2.9% of total geographic area. This combined 24.5% of forest and tree cover, however, remains well below the national target of 33% forest and tree cover[4].

The GoI also has made a national commitment to sequester an additional 2.5 to 3 billion tons of carbon dioxide equivalent (CO_2e) by 2030, as cited in a Nationally Determined Contribution (NDC) submitted to the United Nations Framework Convention on Climate Change (UNFCCC) under the Paris Agreement. At the same time, the GoI committed to restore 26 million hectares of degraded lands by 2030 under the United Nations Convention to Combat Desertification (UNCCD) and its Land Degradation Neutrality (LDN) initiative.

In order to reach these national targets, much more land area would need to be brought under forest and tree cover. The GoI has adopted a two-pronged approach to reaching these targets:

a. Increase the density of forest cover on degraded forest lands through restoration - for example, FSI calculated that restoration of forests could help reach up to 60% of the target for increased carbon sink at reasonable cost [5]while also supporting the LDN target; and

b. Increase tree cover outside forests through more widespread adoption of agroforestry - also calculated to be among the least-cost options for increasing the carbon sink.[6]

Through activities such as the "Forest-PLUS 2.0: forests for water and prosperity", USAID/India is working with GoI's Ministry of Environment, Forest and Climate Change

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[3] FSI. 2019a. India State of Forest Report, Volume I. Chapter 2: Forest Cover. Forest Survey of India, Ministry of Environment, Forest and Climate Change. Pp. 13-52.

[4] MoEF. 1988. National Forest Policy. Ministry of Environment and Forests, Government of India. Resolution No. 3-1/86-FP, dated 7th December 1988. Drafted by Department of Environment, Forests & Wildlife

[5] FSI. 2019b. India's Nationally Determined Contribution of Creating an Additional Carbon Sink of 2.5 to 3 Billion Tonnes of CO2 Eq Through Additional Forest & Tree Cover: Possibilities, scale and costs for formulating strategy. FSI Technical Information Series: Volume 1, No. 3, 2019. Forest Survey of India, Ministry of Environment, Forest & Climate Change

[6] *Ibid.*

(MoEFCC) to restore degraded forests in selected districts in the states of Bihar, Kerala, and Telangana. Forest-PLUS 2.0 represents part of the paradigm shift in India for management of forests with an emphasis on the critical role of forests for water security, soil moisture conservation, and catchment area rehabilitation while contributing toward India's commitment for achieving NDC and LDN targets. Models being piloted in the three states are seen by MoEFCC as vital to enhancing ecosystem services, including biodiversity, hydrological services (including flood mitigation[7]), and carbon sequestration, through improved landscape management.

A.2.4 India's TOF context

The second approach to meeting the national forest and tree cover targets, NDC targets, and LDN targets is focused on TOFs. Agroforestry on farms and commercial private lands - the predominant form of TOF - has the highest potential for increasing carbon sequestration and restoring land while also providing economic benefits. Other options for expanding tree cover through TOFs include planting green corridors along highways, railways, rivers and canals; restoring degraded lands outside of forests; increasing urban green spaces, increasing tree cover in and around industrial areas to mitigate air and water pollution. The GoI recognizes that all of the available options need to be deployed in order to meet the forestry targets.

Agroforestry is viewed as one of the best tools for optimizing farm productivity, increasing smallholder incomes, and building resilience in rural communities while contributing toward increasing the forest and tree cover. Agroforestry in India generally takes the form of home gardens (generally under one hectare) on sloping land for household subsistence, mid-sized (2-5 ha) tree farms intercropped with wheat or other annuals, or large commercial plantations of short-rotation pulp species. It is estimated that the combined area of these and other agroforestry systems is between 11.5 and 25.3 million hectares.[8]

These agroforestry systems are important because they reduce pressure on forest lands for forest products, allowing those forests to provide needed ecosystem services. More tree cover on private lands also helps to rehabilitate and restore degraded land and allows these private lands to increase their contribution to ecosystem goods and services. For example, increased tree cover stores carbon, helps to stabilize soil, and regulates water flow, reducing the risks associated with flooding.[9] Increased tree cover also expands habitat for pollinators needed for agricultural crops, as well as other biodiversity. Trees can help communities increase their resilience to climate change and other shocks, not just through protection from extreme events, but by diversifying economic opportunities (through provision of fruits, wood, and other tree products).

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[7] K Bhattacharjee and B Behera. 2018. Does forest cover help prevent flood damage? Empirical evidence from India. *Global Environmental Change* Vol 53, November 2018, Pp 78-89. DOI: 10.1016/j.gloenvcha.2018.09.004

[8] SB Chavan, A Keerthika, SK Dhyani, AK Handa, R Newaj and K Rajarajan. 2015. National Agroforestry Policy in India: a low hanging fruit. *Current Science* 108(10): 1826-1834, 25 May 2015

[9] Bhattacharjee and Behera. 2018. Op cit.

The GoI officially adopted its National Agroforestry Policy in 2014, the first country to do so. The National Agroforestry Policy was formulated to accomplish the following goals:

1. Establish mechanisms for coordination, convergence, and synergy among ongoing but scattered programs related to agriculture, environment, forestry, and rural development by various ministries and sectors;
2. Improve productivity, employment, income, and livelihood opportunities of smallholder farmers and other rural households through agroforestry; and
3. Meet increasing demands for timber, food, fuel, fodder, fertilizer, fiber, and other agro-forestry products while conserving natural forests, providing environmental protection and security, and increasing forest and tree cover, particularly outside natural forests.

Under the National Mission on Sustainable Agriculture led by the Ministry of Agriculture and Farmers Welfare (MoA&FW) through its Department of Agriculture, Cooperation and Farmers Welfare, a Sub-Mission on Agroforestry (SMAF) was established to support implementing the National Agroforestry Policy. A set of operational guidelines was published in 2016 to help States in meeting the SMAF objectives, including expanding integrated tree plantations, ensuring the availability of high-quality planting materials, popularizing viable agroforestry models suited to agro-ecological zones and climatic conditions, and providing knowledge management and extension support for agroforestry.

While there has been an emphasis in the country on agroforestry (specially focused on farm land), other TOF options such as urban forests, along linear infrastructure, tree cover in and around industrial areas, etc that could provide substantial environmental benefits have not received the required impetus.

A.2.5 Challenges

Despite GoI's commitment to TOF and the huge potential for TOF in India, adoption rates are low due to various challenges which can be categorized as:

a. Challenges related to the enabling environment of regulations, finance and insurance, quality control, and other aspects of the policy, legal, and regulatory framework that currently inhibit more widespread adoption of productive and profitable planting of TOFs;
b. Challenges related to the economic incentives, availability of biophysical and financial inputs and insurances, private sector investments, production practices, processing facilities, viable business models, and other aspects of the value chains for various tree species and the efficient functioning of markets for different products from TOFs; and
c. Challenges related to the information on TOFs, including the generation, compilation, analysis, and dissemination of credible and accurate information on production, harvest, processing.

A.2.6 Theory of Change

The TOFI activity seeks to expand the uptake of TOFs in India for enhanced provision of ecosystem services and increased inclusive economic opportunities. The theory of change for TOFI, therefore, is that *IF the impediments to successful TOF expansion in India are reduced or* *removed AND IF technical knowhow and high-quality planting material are available AND IF financing, insurance, and market opportunities are available THEN the area of trees outside of forests will increase, thereby improving inclusive economic opportunities, and enhancing ecosystem services including carbon sequestration*. In doing so, TOFI will contribute toward India's ability to meet its commitments as outlined above.

Through the TOFI activity, USAID/India will strengthen management of natural resources as envisioned under DO3 of USAID's India Country Development Cooperation Strategy (CDCS) 2020-2024 (https://www.usaid.gov/sites/default/files/documents/1861/India_CDCS_2020-2024.pdf)

A.2.7 Objectives and Key Results

There are three objectives for this activity: 1. Strengthen the enabling environment for TOF expansion in India; 2. Incentivize TOF through reduced risks and improved economic opportunities; and 3. Enhance information systems and processes to support TOF.

Several results are envisioned under each of the three objectives. Capacity building (including training) is considered essential to achieving these results.

Objective 1: Enabling environment strengthened for TOF expansion in India

Under this objective, USAID/India seeks for the TOFI activity to strengthen the enabling environment to facilitate expansion of TOF in target states, with particular emphasis on enabling conditions that support TOF uptake and expansion. This could include, among other things, stimulating demand for TOF products, quality standards and regulatory framework for nurseries, certification of TOF products, mobilizing financial resources, where applicable.

The required (R) and illustrative (I) results under this objective are provided below:

Result 1.1: Consumer demand for certified TOF products enhanced; e.g., building codes revised to promote use of certified wood where applicable, sustainable procurement policies adopted by target states, or other actions undertaken to stimulate TOF demand (R)

Result 1.2: Quality standards and regulatory framework for nurseries developed in target states to encourage production of high-quality planting materials for TOFs and certification systems for TOF products developed (I)

Result 1.3: Analysis conducted to understand the factors that would enable an increase in CSR activities for TOF (I)

Result 1.4: Resources mobilized to scale successful TOF models, e.g., CSR funds, or other public, private or philanthropic financial resources, as appropriate (R)

Result 1.5: Technology demonstrated for monitoring and surveillance of agroforestry and forestry products in transit to minimize illicit products entering TOF value chains (I)

Objective 2: TOF incentivized through reduced risks and improved economic opportunities

Sustainably expanding TOFs requires that risks associated with tree growing are reduced and that tree growers get economic and environmental returns. That is, the material returns from devoting land to TOFs should be at least as much as returns from other potential land uses, recognizing that the returns may be intangible - such as a sense of well-being from a greener landscape as well as mitigating air and water pollution in case of industrial areas. Under this Objective, USAID intends to reduce or remove impediments to expansion of TOFs in ways that incentivizes economic and environmental returns to households, farmers and tree growers, other entities such as land owning institutions and TOF based enterprises. This could include, among others, increasing access to finance and insurance, promoting TOF based enterprises/value chains and providing business incubation support, skilling of workforce, demonstrating production of high quality seedling, establishing demonstration nurseries and plantations.

The required (R) and illustrative (I) results under this objective are provided below:

Result 2.1: Viable, innovative finance models for TOF developed and access to credit and insurance increased for farmers, FPOs, and MSMEs as needed to incentivize them to take advantage of TOF opportunities (R)

Result 2.2: Capacity of financial and insurance agencies to evaluate TOF proposals strengthened and models/standards developed for the financial institutions to undertake due diligence of financing (credit/loan) proposals from farmers (I)

Result 2.3: Business incubation and other support services provided based on need and demand from MSMEs, FDCs, FPOs, or other TOF/ wood-based enterprises (I)

Result 2.4: TOF value chains & actors (*e.g.*, FDCs, FPOs, MSMEs, corporates, traditional middlemen, local youth, disabled, landless) strengthened, including through setting up of TOF-based enterprises to respond to market demand and skill development. (R)

Result 2.5: New and innovative TOF-based products and value chains established (I)

Result 2.6: Model state-of-the-art nurseries established in target states to showcase best practices in the production of high-quality planting material at scales needed for TOF expansion (R).

Result 2.7: A decision support tool for selecting appropriate tree species, including taking into consideration climate change scenarios, for various TOF options (R)

Result 2.8: Demonstration plots established in private and institutional areas in target states to showcase best practices in raising good quality plantations and demonstration plots established in select industrial areas in target states to showcase best practices in growing trees for mitigation of air and water pollution (R)

Note: Procurement/purchase of seeds /seedlings/saplings will need USAID approval during project implementation.

Objective 3: Enhanced information systems and processes on TOF

Because TOFs have not yet become widespread despite GoI commitments to increasing tree cover, the third Objective of this activity is to enhance the systems and processes for TOF information so that they function more effectively. The long-term sustainability of efforts to increase tree cover in India through expanded TOFs will require an ongoing process of learning about what works under which conditions including future climates and markets. The information systems and processes need to support the generation, compilation, analysis, synthesis, packaging, and dissemination of a wide range of TOF-related information with the aim of having better information in the hands of more users. This could build on the strengths of the Van Vigyan Kendras established by State Forest Departments, the Krishi Vigyan Kendra network established by the Indian Council for Agricultural Research, or similar types of extension service centers.

The required (R) and illustrative (I) results under this objective are provided below:

Result 3.1: Market information system for agroforestry products developed and a future market scenario developed (R)

Result 3.2: Information on agroforestry models and practices strengthened (R)

Result 3.3: Research supported for agroforestry productivity improvements (e.g., species, quality planting materials, silviculture, etc) (I)

Result 3.4: Research supported for identifying suitable models and trees for restoration, reclamation of mined areas, plantations for industrial areas, etc. (I)

Result 3.5: Evidence-base for reducing pollution through trees and forests strengthened (I)

Result 3.6: Information dissemination service on TOF/ agroforestry strengthened(R)

A.2.8 Proposed Geographic Targeting Criteria

The selection of geographic targets will be conducted during the co-design (Phase 3) stage of the TOFI activity. In their response to the solicitation, offerors will propose criteria they would use to select ~~five~~ seven states representing key agro-ecological zones of India. The final selection of the states at the co-design stage would be subject to MoEFCC approval.

A.2.9 Link to Agency Priorities

The TOFI activity is aligned with India Country Development Cooperation Strategy (2020-24) and other broader USAID priorities such as the Journey to Self Reliance, Indo-Pacific Strategy, Private Sector Engagement Strategy, and Environment and Natural Resources Management Framework.

A.2.10 Guiding Principles

Leveraging: In addition to leveraging resources from the private sector for activity implementation, TOFI will also leverage resources from the public sector. The resources leveraged from both the sectors will enable the activity to engage in interventions that are of shared interest and will enable the interventions to be continued after the TOFI activity ends. At a minimum, the applicant is required to leverage 25% of the award amount from other sources.

Coordination: USAID/India and the applicant will finalize the teaming arrangement/ consortium framework (if applicable) through the co-development process. The TOFI activity will engage with relevant host government ministries. The activity will coordinate with current USAID-funded activities and leverage the work of other relevant actors and stakeholders to ensure complementarity and avoid duplication of efforts.

Gender and Social Inclusion: Please see Annex 3 for information on gender and social inclusion.

Note: The term "program" as used in 2 CFR 200 and this NOFO is typically considered by USAID to be an Activity supporting one or more Project(s) pursuant to specific Development Objectives. Please see 2 CFR 700 for the USAID specific definitions of the terms "Activity" and "Project" as used in the USAID context for purposes of planning, design, and implementation of USAID development assistance.

END OF SECTION A

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SECTION B: FEDERAL AWARD INFORMATION

B.1 Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity.

Subject to funding availability, successful ongoing implementation and at the discretion of the Agency, USAID in total government funding intends to provide US$**25** Million through incremental funding over a five (5) year period.

USAID reserves the right to change the funding amounts, cycle, and terms of the resulting Cooperative Agreement as a result of availability of funds and US Government requirements. The Recipient will be notified in writing should such changes occur.

B.2 Expected Performance Indicators, Targets, Baseline Data, and Data Collection

Monitoring, Evaluation and Learning: A robust monitoring, evaluation, and learning approach will be adopted to ensure the tracking and reporting of results under the activity. The Monitoring, Evaluation and Learning (MEL) plan should include the activity's logic model, (logical framework and others), key performance indicators, performance indicator reference sheets, including draft targets for each indicator and information on data quality assurances; and a calendar of key performance management tasks. Further, the Plan should describe the process for monitoring, evaluating, and learning from implementation to adapt and achieve results. The TOFI activity should use results-based management and the performance metrics approach, as a tool for activity design, implementation, monitoring and evaluation.

Tentative list of indicators to monitor results is given below. The final list of indicators will be developed during the co-design stage.

- Number of state-of-the art-nurseries set up
- Number of hectares under improved management practices or technologies with USG assistance [FTF EG.3.2.-25]
- Number of people trained on nursery techniques, TOF plantations and value addition
- Greenhouse gas (GHG) emissions, estimated in metric tons of CO2 equivalent, reduced, sequestered, or avoided through sustainable landscapes activities supported by USG assistance (EG.13-6)
- Projected greenhouse gas emissions reduced or avoided through 2030 from adopted laws, policies, regulations, or technologies related to sustainable landscapes as supported by USG assistance (EG.13-7)
- Number of institutions with improved capacity to address sustainable landscapes issues as supported by USG assistance (EG.13-2)

- Number of financial institutions whose capacities are built to undertake due diligence of TOF proposals for loans.
- TOF enterprises, producers' organizations, women's groups and community-based organizations that applied improved organization-level management practices with USG assistance
- Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment) (GNDR-2)
- Percentage of youth, disabled and other disadvantaged group participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment)
- Number of microenterprises supported by USG assistance (EG.5-3)
- Number of SMEs supported by USG assistance
- Financial capital provided by intermediaries to TOF MSMEs supported by USG assistance
- Amount of investment mobilized (in USD) for sustainable landscapes as supported by USG assistance (EG.13-4) [disaggregated Public / Private?]
- Number of laws, policies, regulations, or standards addressing sustainable landscapes formally proposed, adopted, or implemented as supported by USG assistance (EG.13-3)

A mid-term and final evaluation will be conducted by a third party at the end of the program as per USAID guidelines. The evaluation will measure the effectiveness of the activity and the results achieved against the objectives proposed in the activity. Lessons learned, challenges, and recommendations will be summarized by the third party for review by USAID/India.

USAID/India recognizes that development efforts yield positive change more quickly if they are coordinated and collaborative, test promising new approaches in a continuous search for improvement, and build on what works, while eliminating what does not. The recipient must therefore implement a Collaboration, Learning and Adaptation (CLA) approach to continuously assess the activity's causal pathways, target outcomes, and adjust the interventions and approach as necessary to yield the most effective course of action. The CLA Plan must clearly relate to the MEL Plan.

B.3 Anticipated Start Date and Period of Performance for Federal Awards

The anticipated period of performance is five (5) years. The estimated start date will be upon the signature of the award, on or about August 11, 2021.

B.4 Substantial Involvement [10]

In accordance with ADS 303.3.11, USAID will remain substantially involved over the life of the Cooperative Agreement to assist the Recipient in achieving the expected outcomes and

[10] This Substantial Involvement section is subject to change following the Co-Creation Workshop and submission of the Final Application of Phase 3

results of the program. Some examples of potential areas of substantial involvement during performance include the following:

- Approval of recipient's implementation plans during performance;
- Approval of key recipient personnel; and
- Joint participation will be necessary to ensure achievement of key objectives during the performance of the activity.

B.5 Authorized Geographic Code

The authorized geographic code for the procurement of services and commodities is 937. Code 937 is defined as the United States, the recipient country (India), and developing countries, but excluding any country that is a prohibited source. There are currently no prohibited source countries, but the list is updated regularly and can be found here: http://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf

B.6 Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the TOFI which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program 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.

END OF SECTION B

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SECTION C: ELIGIBILITY INFORMATION

C.1. Eligible Applicants

This funding opportunity is unrestricted and open to all eligible U.S and non-U.S. non-governmental organizations (other than those from foreign policy restricted countries), including foundations, institutions of higher education, consortiums and public international organizations, etc. Individuals are not eligible to participate.

Pursuant to 2 CFR 200.400(g), it is USAID policy not to award profit under assistance instruments such as Cooperative Agreements. While for-profit firms may participate, pursuant to 2 CFR 700.13(A)1), Prohibition against Profit, no profit will be paid to any for-profit entity receiving or administering Federal financial assistance as a recipient or sub-recipient.

USAID welcomes organizations that have not previously received financial assistance from USAID to submit their applications.

Applicants must also provide a valid DUNS number in the SF-424 form to be submitted along with their application. Though not required during the Phase 1 and Phase 2 application process, the "Apparently Successful Applicant" (ASA) must have successfully registered in SAM (System for Award Management) prior to award. For those who have previously registered in SAM, they must renew and maintain an active SAM registration during the time they have concept notes or applications under consideration by a Federal awarding agency, or during an active Federal award.

C.2 Cost Share or Leverage[11]

Under this NOFO there is not a mandatory cost share requirement. However, 25% of leverage from other sources of funding to implement activities is required.

C.3 Other

It is preferred that an organization only submits one concept paper as a prime or consortium leader under the NOFO. However, organizations participating as a member of a consortium may elect to participate in another consortium under a different concept paper as a prime recipient.

C.4 Pre-award Survey / Risk Assessment

The ASA has to be responsible for ensuring achievement of the objectives described in the NOFO. Therefore, the AO will decide on whether to subject the ASA to a pre-award survey, and based on the results, will make a determination if the prospective recipient is a responsible entity, i.e., whether it has the necessary organization, experience, adequate accounting and

[11] For definition of Leverage, please see

https://www.usaid.gov/sites/default/files/documents/1865/usaid_psepolicy_final.pdf operational controls, and technical skills—or ability to obtain them—in order to achieve the objectives of the project and comply with the terms and conditions of the award. The AO must make a positive “risk assessment to ensure that the (ASA possesses the necessary management and technical competence to implement the proposed program. The ASA must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID. In the absence of a positive risk assessment, an award can ordinarily not be made. However, in rare cases, an award can be made with “Specific Conditions” (e.g., additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an organization for which a positive risk assessment cannot be made), but only where it appears likely that the applicant can correct the deficiency within a reasonable period.

Please note that a pre-award survey does not commit USAID to make any award.

END OF SECTION C

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1. Agency Point of Contact

Name: Armando Espinosa
Title: Agreement Officer
Email: aespinosa@usaid.gov

D.2 Questions and Answers

Questions regarding this NOFO should be submitted by email to indiarco@usaid.gov, with a copy to vvats@usaid.gov no later than the date and time indicated on the cover letter, or as per any 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.

D.3 General Content and Form of Application

Applicants are expected to review, understand, and comply with all aspects of the NOFO. Applicants must ensure the necessary documents are complete and received at USAID on time. All submissions received by the stated deadlines in the NOFO will be reviewed in accordance with the review criteria contained in Section E of this NOFO. Failure to do so may result in the submission being considered non-responsive and will not be reviewed.

Submissions must be in electronic format. Applicants' authorized representatives are to sign their names (manually or digitally) on the cover pages of their submissions, as well as in required certifications. For a submission to be considered timely, the electronic transmission must be submitted by email to indiarco@usaid.gov, with a copy to vvats@usaid.gov and received by the USAID/India internet server no later than the date and time indicated on the cover sheet of this NOFO.

D.4 Application Submission Procedures

The following provides the estimated timing for conducting the merit review process. This timeline is subject to change:

Submission/Action	Estimated Date of Submission and/or Activity
Phase 1 Submission of Concept Paper	03/23/2021
Phase 2 Oral Presentation	05/06 - 05/11/2021

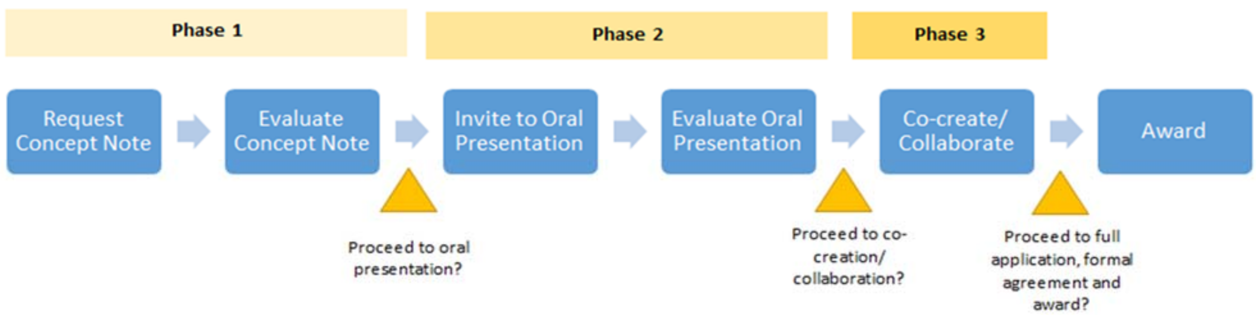
Phase 3 Co-Creation Workshop	06/07 – 06/21/2021
Receive Full Application (Technical and Cost Application)	06/28/2021

It is highly recommended that applicants read the entire NOFO before submitting an application. Respond to Merit Review criteria as appropriate and comply with all aspects of the NOFO. Failure to do so will be at the Applicant's risk.

D.5 Overall Selection Process

The purpose of having three Merit Review phases is to identify an Applicant that will have the greatest chance of success to achieve the activity objectives.

Below is the process diagram for this NOFO.



Merit Review Phase 1 - Concept Paper: Applicants will be invited to submit a Concept Paper not to exceed ten pages, including a notional budget estimate. Information regarding the Concept Paper submission is in SECTION D.6 of this NOFO.

Phase 1 is the submission and review of a written concept paper. Concept Papers will be reviewed for technical soundness, organizational and management approach and the applicant's institutional capability and past experience. The highest rated concept paper applicants will be invited to participate in Phase 2.

In the event USAID determines that none of submitted Concept Papers are acceptable, USAID will issue an amendment to the Addendum to seek a second round of interested applicants.

Merit Review Phase 2 - Oral Presentation: Selected Applicants will be invited to orally present their concepts through videoconference to be held approximately two (2) weeks after being notified that their concept paper was accepted for Phase 2. This oral presentation is a requirement. The format, technical requirements, and videoconference information will be made available to those Applicants invited to participate in the oral presentations. The Applicant's concept paper author/s and lead technical backstops must be part of the presentation team.

USAID will not be responsible for costs associated with presentation.

One or two applicants will be selected from the Merit Review Phase 2 as the Apparently Successful Applicant (ASA)[12]. The ASA will be notified by letter approximately two (2) weeks after completion of oral presentations. The ASA will be invited to participate in Phase 3.

At the completion of Phase 2, the competitive process of ADS 303 will be satisfied.

Phase 3 - Application co-creation and Merit Review of the final proposal: Approximately one (1) week after phase 2, ASA will receive a notification for a week long collaborative workshop to be hosted by USAID/India via video conference to develop a program description and subsequently submit a full technical and cost application. Participants in this workshop will include the ASA, USAID, and potentially other stakeholders such as MoEFCC and will bring together the various technical approaches and innovations of the applicant and further define activities.

Programmatic budget levels, as well as sources and modalities for leveraging additional funds to finance activities under Program Description, will also be finalized during this phase. The goal is that after the one-week workshop, a programmatic framework will be in place which clearly illustrates how the ASA will implement the proposed strategies to achieve the goals and objectives stated in the NOFO. After the workshop, ASA will continue to work remotely to refine its approach and will draft a robust program description and detailed cost application to be submitted within one (1) week. USAID will review these two documents and provide additional clarification questions within one (1) week, if any. Additional information regarding the logistics and content of the workshop will be provided as part of the ASA Notification Letter. Based on the results of the final review, USAID will determine the Apparently Successful Applicant (ASA).

USAID reserves the right to ask two or more applicants to work collaboratively on a program description and cost application if, in USAID's opinion, combining their concepts will result in a more effective overall program.

No funding will be made available prior to the award of the Cooperative Agreement. Applicants, including the organization selected to collaboratively develop the Program Description, are responsible for all costs related to the oral presentation phase and Program Description Development Workshop. Once the award is signed, the implementing partner may start incurring costs. Applicants not selected for the consecutive phase will be notified at the end of each phase. Unsuccessful applicants may request additional information following such notification.

D.6 Content and Form of Application Submission

(a) Phase 1 – Concept Paper Content and Format:

[12] Apparently Successful Applicant(s). The applicant for USAID funding recommended for an award after the merit review, but who has not yet been awarded cooperative agreement by the Agreement Officer. Apparently successful applicant status confers no right and constitutes no USAID commitment to an award, which still must be obligated by the Agreement Officer

The initial application should be written from a comprehensive viewpoint that shows innovations and approaches proposed by the Applicant and lays out how the Applicant is uniquely capable of achieving the objectives and results set forth in *Section A.*

The initial application or the "concept paper" must demonstrate an understanding of the activity and introduce the applicant's strategy and methodology, including its strategic approach and realistic yet innovative interventions.

Applicants must format their Concept Papers as follows:

- Spacing: Singled-spaced;
- Font: Times New Roman, 12 points;
- Margins: one-inch margins on all sides;
- Paper Size: 8.5 inches x 11 inches;
- any graphs, charts, exhibits, tables, etc. contained in the body of the concept paper shall be numbered and included in the stated page limits (see below). Table font may be reduced to Times New Roman, 10-point.

Concept Papers should be no more than 10 pages, exclusive of cover page, table of contents and annexes. They must be presented taking into account and in the order of the technical evaluation criteria found in *Section E.2*:

- Cover Page (1 page; not included in the page count) and must contain—
  - ❖ Project Title
  - ❖ Notice of Funding Opportunity number
  - ❖ Name, address and telephone number of the Organization (primary or lead)
  - ❖ Proposed sub-awardees or partners
  - ❖ Contact Person' Name and Signature, Title/Position, Email address, phone nos. OR
  - ❖ Name and Signature of Individual authorized to negotiate terms, conditions and countersign the award; Title/Position; Email address; telephone nos.
  - ❖ DUNS, TIN and, if applicable, LOC number.

- Annexes (not included in the page count)
  - ❖ Acronym List/Definition (not to exceed 1 page)
  - ❖ Timeline (not to exceed 1 page)
  - ❖ Organizational chart/Staffing plan (general, not to exceed 1 page)
  - ❖ Past performance (1 page per sub-awardee/partner)
  - ❖ Other charts, graphs, tables, data or information considered essential to the application (not to exceed two pages)
  - ❖ Proposed Notional Budget - estimated cost summary, direct, and indirect costs by the applicant and sub-awardees/partners (not to exceed one page)

- **Technical Approach** (7 pages; included in the page count) –
  In this section, the Applicant should present its overall vision for the NOFO stated goal and

objectives and explain how the Applicant and its sub-awardees/partners can support the vision. Since the Applicant will collaboratively develop the final program description with USAID, it is not necessary to present a full or detailed technical application addressing every aspect of the priority areas listed under the activity objective. The Applicant will use the technical general approach to demonstrate an understanding of the role of trees outside forests in enhancing ecosystem services and inclusive economic development in India, the GOI priorities regarding trees outside forests, the challenges for the uptake of trees outside forest, the key stakeholders and the opportunities to increase uptake of trees outside forests.

Applicants must focus on describing how they propose to achieve the objectives and elaborate on how the proposed technical approach is the most effective way to address the intent of the NOFO. At a minimum, this section must contain:
a. Summary Statement: A brief statement of the problem(s)/issue(s) being addressed, and proposed strategies/activities.
b. Timeline: Proposed timeline, i.e. project duration or time needed to complete the proposed activities. This project duration should not exceed 5 years.
c. Includes vision statement, brief narratives describing the situational context and background (limited to what is necessary to understand the project), the problem to be addressed, approach to achieving the project objectives and results.
d. Proposed criteria for selection of states
Also include in the project description a brief discussion regarding:
e. Sustainability (how the project will be supported and can continue without donor funding) and self-reliance;
f. succinct description of gender integration opportunities identified.
g. Collaboration with the GOI and other key stakeholders;
h. Brief plan for leveraging funds and private sector engagement in helping achieve the objectives of the activity.
i. List of tentative indicators and targets (a maximum of 5) that would be crucial for achieving the project objectives.

- **Organizational Management and Staffing Plan** (2 pages; included in the page count)

This Project will require specialized skills from multiple sets of partners USAID/India does not expect one organization to have all of the professional skills, services, and knowledge base required to meet the results; it is for this reason that subawards/partnerships are encouraged. USAID/India encourages the Applicant to clearly describe the individual skills and capacity of each partner organization, define the value each partner brings, and how they complement one another. Sub awards/partnerships with local entities [13]will be critical in achieving the results of the program. The applicant should also briefly mention how the skill sets of their proposed key personnel will help achieve the objectives of the project.
The Applicant should succinctly outline an inclusive leadership approach that will create a shared common vision and purpose that builds trust and recognizes the value and contribution of all sub-awardees/partners. The Applicant is required to coordinate with USAID and relevant GOI ministries and agencies.

[13] As defined in ADS 303.6 Local Entity (b)

• **Institutional Capability and Past Performance** (1 page; included in the page count)

USAID/India understands that achievement of desired outcomes relies on the overall performance of an organization. For this reason, USAID/India will evaluate both the Applicant. Not only will technical capacity be examined, but also the ability of each sub-awardee/partner organization to work with each other, focused on a common purpose. Past performance information must be provided and should relate to the specific technical nature of the Activity. The Applicant must provide performance information for each organization member (as an Annex; no longer than one page per organization). The Applicant is strongly encouraged to provide specific examples of significant impact of their past projects and how cooperation in prior partnerships/consortia contributed to that impact.

USAID will determine the relevance (complexity, scope, size and magnitude) of similar performance information as a predictor of probable performance under the subject requirement. USAID will consider relevant projects successfully performed during the recent 3 to 5 years to be "recent performance information".

The Applicant should address the following points:
● Demonstrated successful experience in managing and implementing similar programs, in size and scale, preferably in South and South East Asia;
● Timeliness of performance, cost, and scope; and
● How the Headquarters management team contributed to success, if applicable.

(b) Phase 2 – Oral Presentation Instructions

Based on USAID's merit review of Concept Papers, only Applicants whose concept papers are the highest rated, i.e., are determined to meet the criteria, will be invited to present their concept papers via video conferencing. The order of presentation among the selected Applicants will be randomly determined by the Agreement Officer.

Applicants who will be invited to the Oral Presentations will be notified promptly as to the date of their scheduled presentation. They should expect at least two (2) weeks notice before their scheduled oral presentation. At the time of the invitation, USAID will provide the initial discussion items based on the review of Concept Papers.

Oral Presentations are a condition of award as technical discussions will also occur at this stage. Video conference information will be provided prior to the scheduled date.

The audience for the Oral Presentation will consist of the Selection Committee (SC), the Agreement Officer. The Agreement Officer will chair the Oral Presentations. While the Concept Paper will be presented in PowerPoint format, the remaining discussions will be in Question and Answer (Q&A) format with some time for consultation among members of the presenting team. Each team member should be an expert and should use the PowerPoint to present the salient/important points of the Concept Paper without reading the slide contents verbatim to the audience. Team member must be able to "think on their feet" and to actively participate in the discussion of subsequent Q's & A's.

The Oral Presentation Agenda will be shared with the applicants who reach phase 2. Each oral presentation will be evaluated and scored by the SC in accordance with the merit review criteria set forth under *Section E.3* of this NOFO. In the presentation, the applicant should summarize their concept note while also addressing the questions raised by USAID on technical approach, organizational management and staffing, and the MEL approach. The presentation should also give an expanded list of indicators and targets (in addition to the five provided in the concept stage) which are significant in achieving the activity results.

The applicants selected for oral presentation are required to present their detailed leverage plan.

Applicant Participants

The Applicant's concept paper author/s and lead technical backstops must be part of the presentation team. Selected Applicant is also highly encouraged to include participants from proposed sub partner organizations (if applicable). Selected Applicants are limited to five participants and must be present via video conference on the date and time specified for the presentation (provided in the invitation notification letter.

Notification

Upon completion of the oral presentations, USAID plans to inform the highest rated Applicant/s if its application has been selected to proceed to the next stage of the review process. For the selected applicant(s), USAID will provide a written summary (feedback) of their Oral Presentation/Discussion to further guide the co-creation workshop preparation. Unsuccessful Applicants will have the opportunity to request additional information following a notification that they were not selected to proceed to the next phase.

USAID reserves the right to select another applicant from the pool of Selected Applicants in phase-2 in case final agreement is not reached with the initially selected ASA in phase-3.

(c) Phase 3 - Co-design: Program Description Design Workshop Instructions

The highly rated Applicant/s will develop the Program Description for the resulting Cooperative Agreement in collaboration with USAID/India. Approximately two weeks after the notification, a two-week collaborative workshop will be hosted by USAID/India. The workshop will be conducted through videoconferencing and other forms of remote communication. This workshop, participants will include the highly rated applicant/s, USAID, and potentially other stakeholders, will bring together the selected technical approach to further define program activities. The highly rated applicant/s will make a determination as to who will be the appropriate representatives from its team/consortium. Other stakeholder inclusion in the workshop will be determined by USAID on a later date (but before the workshop dates), and likely set forth in the Notification Letter for Phase-3.

The Program Description should include, at a minimum, expanded information on the Applicant's Technical Approach and Organizational Management and Staffing. In addition, the Program Description will articulate its strategies in implementing its Monitoring, Evaluation and Learning Methodology that will facilitate adapting learning and management. The Applicant must also demonstrate how it will apply adaptive management techniques to inform program management and key decisions. If construction of nurseries is included in this award then it will be in accordance with ADS 303.3.30 Limitation on Construction under Assistance.

A highly rated applicant which may be the ASA should also anticipate commencing budget formulation during this workshop, once a programmatic framework is in place, which clearly illustrates how the ASA will tackle the activity objectives. Additional logistics and content of the workshop will be provided as part of the ASA Notification Letter.

Phase 3 – Technical and Cost/Business Application

Upon completion of the PD Design Workshop, the ASA will be notified to submit a Final Technical and Cost/Business Application. Only electronic submission via email to the Agency Point of Contact at indiarco@usaid.gov with a copy to vvats@usaid.gov

(1) Technical Application Instruction

The ASA will develop its Technical Application, which will be the Program Description of the resulting Cooperative Agreement in collaboration with USAID. The Technical Application is the most important part of consideration in making the award decision. It must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this activity. It must be specific, complete and presented concisely. The technical applications should not be more than 45 pages.

Detailed format and content of the Full Technical Application will be developed in collaboration between the ASA and USAID.

The Technical Application will include the Program Description co-created and finalized during the PD Design Workshop.

As part of the final Technical Application, the ASA will also furnish the following (included in the 45 page limit):

- Gantt Chart of Program Activities
- Rapid Start-Up Plan
- Updated Program Organizational Chart
- Curriculum Vitae of Key Personnel ~~(other than those already submitted during the Initial Application)~~ and other pertinent staff (management and technical personnel) named in the Organizational Chart
- Monitoring, Evaluation and Learning Plan

- Draft Branding Strategy and Marking Plan
- Environmental and climate risk mitigation

(2) Cost/Business Application Instruction

The Cost/Business Application must be submitted separately from the Technical Application. The Applicant shall submit a budget broken down by program years and in detailed costs for implementation of the program including the subrecipient's cost. The excel sheet should include a summary budget. The budget breakdown must be presented in an unlocked Microsoft Excel (version 2000 or later) spreadsheet with no hidden nor locked cells/sheets. The budget breakdown must be accompanied by a budget narrative which provides in detail the assumptions made for each of the cost elements. The application must provide evidence that the funds requested are reasonable and would be used in a cost-effective manner.

The Cost/Business Application must contain the following:

(i) Cover Page – containing the same information as the Technical Application cover page.

(ii) A summary of the budget must be submitted using Standard Form 424, 424A and 424B. Forms can be retrieved from:

Instructions for SF-424	http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html
Assurances (SF-	https://www.grants.gov/web/grants/forms/sf-424-family.html

424B)	

The cost application must consist of a summary budget in US dollars. The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A.

(iii) Detailed/itemized budget breakdown (provided in spreadsheet)

The budget breakdown should be presented along the following line items:

Line Item	Year 1	Year 2	Year 3	Year 4	Year 5	Total
I. Personnel						
II. Fringe Benefits						
III. Allowance						
IV. Travel and Transportation						
V. Trainings and workshop						
VI. Equipment and Supplies						
VII. Contractual						
VIII.Construction*						
IX. Other Direct Costs						
X. Total Direct Costs						

XI. Indirect Costs (i.e., overhead, G&A, etc.)						
XII. Total Federal Cost						

*Only for Nurseries

Detailed breakdown should include the following:

- Personnel – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. Direct salaries, wages and allowances must ’include position title, salary rate, level of effort, and salary escalation factors. Specify the budget for the portion of the Activity to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the Applicant’s budget, including those related to fringe and indirect costs. The name, daily and annual salary, expected level of effort of each person charged to the program; same information should be provided for Consultants.

- Fringe Benefits – (if applicable) If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant must propose a rate and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

- Allowances: Allowances must be broken down by specific type and by person and must be in accordance with the Applicant’s policies. All salaries, benefits and allowances must be based on written compensation policies of the organization. Allowances should be in accordance with the applicant’s policies and the applicable regulations and policies. Explain assumptions in the Budget Narrative. If the organization has standing policies across all projects for annual salary escalations that exceed current inflation rates, those policies and the effective date of those policies must be provided with the application. The Applicant must also confirm that the policy applies to all staff across all projects.

- Travel and Transportation: Travel, per diem and other transportation expenses must be detailed in the financial plan to include the number of international trips, from where to where, number of per diem days and rates. Per diem and other travel allowances must be based on written travel policies of the employer organization (Applicant may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

- Equipment: Detail all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates.

- Supplies: Detail all materials and supplies expected to be purchased, including type, unit cost, and number of units. The budget narrative must include the purpose of supplies and the basis for the estimates.

- Contractual: Detail of all contractual, sub-recipients and sub-grants. Separate budget breakdown (using the same line item breakdown of the prime Applicant) for each sub-recipient/sub-award

- Construction: Detail of all construction costs related to nurseries.

- Indirect cost: must be supported with information (i.e., Negotiated Indirect Cost Rate
  Agreement) to substantiate the calculation of the indirect cost.

- Other Direct Cost: This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the Activity proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the Activity, along with estimates of costs. Otherwise, the narrative should be minimal.

- For commercial organizations, no profit or fee shall be included in the budget. All reasonable and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost principles under 2 CFR 200 and 2 CFR 700

(iv) Budget Narrative

The budget narrative should explain all budget assumptions and how the costs are derived. It will provide information regarding the basis of estimates for each line item, including reference to source used to estimate the costs (i.e., organization’s policy, payroll document, vendor quotes, etc.)

(v) Other administrative documentation

a. Evidence of responsibility

The Agreement Officer requires from the Applicant certain documents to be submitted in order to determine the Applicant’s responsibility as well as to assess USAID’s risk should an award be made. The information submitted shall substantiate that the Applicant:

- Has adequate financial, management and personnel resources and systems 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, non-governmental and governmental;
- 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; and
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations.

b. Indirect cost rate justification

A copy of the Applicant organization's current Negotiated Indirect Cost Rate Agreement (NICRA), if it has one with a U.S. Federal Agency. Applicant and proposed sub-awardee(s)/partner(s) that do not currently have a NICRA from their cognizant agency (USAID or another U.S. Federal Agency) must also submit copies of the partners' financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID.

- **Reviewed financial statements** 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 CPA 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.

- **Audited financial statements** 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).

Applicants that have not received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual.

c. Proof of Business Registration to conduct business in India

d. The applicant must complete the following documents and submit a signed copy with their application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf.

((2) Assurances for Non-Construction Programs (SF-424B)

(3) 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).

d. Proof of Duns and SAM registration.

USAID may not award to an Applicant until the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements. The Applicant is required to:

- Be registered in SAM before submitting its full application
- Provide valid unique identifier (DUNS number) in its application; and,
- 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.

The registration process may take several weeks to complete. Therefore, Applicants are encouraged to obtain them early to be eligible for an award under this NOFO.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Completion of an early registration does not constitute any commitment on the part of the U.S. Government to make an award.

e. Consortium arrangements

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 with for purposes of Agreement administration, identity of the Applicant which 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. Negotiation

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. Applicants should not submit the information below with their applications! The information in this section is provided so that Applicant may become familiar with additional documentation that may be requested by the Agreement Officer:

- Bylaws, 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.

END OF SECTION D

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SECTION E: APPLICATION REVIEW INFORMATION

E.1 Criteria

All applications will be reviewed in accordance with the review criteria set forth below. The purpose of the merit process is to identify an Applicant with the best approach to achieve the Trees Outside Forests in India Activity objectives and results, as described in *Section A*.

The criteria presented below have been tailored to the requirements of this NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters that Applicants should address in their applications, and (b) set the standards against which applications will be evaluated.

The criteria listed below are presented so that Applicants will know which areas require emphasis in the preparation of their applications during the appropriate phase.

E.2 Review and selection Process

Phase 1 – Concept Paper

The Initial concept paper should be written from a comprehensive viewpoint that shows innovations and approaches proposed by the Applicant and lays out how the Applicant is uniquely capable of achieving the objectives and results set forth in *Section A*. See also *Section D5(a)*.

The Initial Application will be reviewed based on the following merit criteria. The criteria listed below are presented in order of importance – Factor 1 is the most important factor, and Factor 2 is more important than Factor 3.

(a) Factor 1 - Technical Approach

Applicants will be evaluated on:

- The extent to which the Applicant clearly articulates its innovative and feasible technical approach for each of the core areas set forth in *section A* and convincingly demonstrates the rationale of how it will achieve the desired objectives/results of the USAID Trees Outside Forest in India Activity, including the indicators and proposed targets.
- The extent to which the applicant demonstrates ability ~~sound~~ ~~plan~~ ~~for~~ to leverage ~~leveraging~~ funds and engage with the private sector ~~engagement in helping~~ to help achieve the objectives.
- The robustness of the criteria for selection of states
- The extent to which the Applicant clearly demonstrates how it will engage with GOI ministries and agencies, state level agencies, the private sector and other relevant stakeholders, and how its approach will maintain the sustainability of the activity results.

(b) Factor 2- Organizational Management and Staffing

Applicants will be evaluated on the extent to which the Applicant's well-articulated management plan and staffing plan demonstrate the Applicant will effectively and efficiently achieve the activity objectives and results. The applicant will also be evaluated based on clarity on roles and responsibilities of sub-partners and skills of key personnel.

(c) Factor 3 - Institutional Capability and Past Performance

Applicants will be evaluated on the degree to which the Applicant convincingly demonstrates through its past experience that it possesses the institutional capacity to successfully implement the proposed intervention to achieve the project objectives and results.

Institutional capacity and past performance records for both Applicant and its proposed sub-awardees/partners will be closely reviewed and evaluated for their relevance and performance experience on similar projects performed within the last 3-5 years. Relevance is defined as projects performed of a similar scope, magnitude and scale. The Applicant and its partners have the technical and management experience and skills to implement the proposed interventions.

Performance information will be used for responsibility determination. USAID may use performance information obtained from sources other than those identified by the Applicant. USAID will utilize existing databases of agreements performance information if any and solicit additional information from the references provided in and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

In cases where an Applicant lacks relevant past performance history or in which information on past performance is not available, the Applicant will not be evaluated favorably or unfavorably on past performance. In such cases the Applicant will be rated "neutral". The "neutral" rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.

E.3 Phase 2 – Oral Presentation

The applicant will be evaluated based on how effectively the applicant responds to the questions and clarifications raised by USAID on the technical approach, organizational management and staffing, the MEL approach, and the level of ambition in establishing realistic and achievable indicators and targets to achieve the project results.

E.4 Phase 3 – Co-Creation

Only those who succeed from the Phase 2 Merit Review will be invited to join the co-creation phase which will result in the submission of Full Technical and Cost/Business Applications for final evaluation. USAID reserves the right to select another Applicant from the pool of Phase 2 merit review participants in case final agreement is not reached with the initially selected Applicant reaching phase-3.

E.5 Final Technical Application/Program Description

There will be no evaluation factors during Phase 3 (Program Description Design Workshop) but the resulting Program Description developed during the workshop will be the final technical application which will be incorporated into the resulting Cooperative Agreement. The final technical application/program description is the most important part of consideration in making the award decision.

At this stage, USAID/India will evaluate the Final Technical Application of the ASA as "Acceptable" or "Unacceptable". In the event that negotiations fail to improve the ASA's final technical application/program description, the Agreement Officer may determine the application as "Unacceptable".

E.6 Cost/Business Review

During the Collaboration Workshop, USAID/India and the ASA will commence negotiation regarding the anticipated costs associated with implementing the Program Description. Following the Workshop, the ASA will finalize a Cost/Business Application based upon the discussions.

The Cost/Business Application will be reviewed separately from the Technical Application. Although Cost/Business Application will not be rated, the Applicant should have a structure that will allow it to provide the greatest value (highest result) at a reasonable cost.

The Agency will evaluate the cost/business application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E and to ensure that all compliance requirements have been satisfied and the Agreement Officer can make an affirmative determination of responsibility.

Cost will be reviewed for general completeness, reasonableness, allowability and allocability. Cost realism is an assessment of the accuracy with the proposed costs and represents the most probable cost of performance within the Applicant's technical and management approach. Cost realism review will be performed as part of the review process to:
(i) verify the Applicant's understanding of the activity objective;

(ii) assess the degree to which the cost application reflects the approaches and/or risk assessments made in the technical application as well as the risk that the Applicant will provide the supplies or services for the offered cost; and
(iii) assess the degree to which the cost included in the cost application accurately represents the work effort included in the technical application.

The AO will perform a risk assessment (2 CFR 200.206). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, 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. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with "specific conditions" (2 CFR 200.208).

END OF SECTION E

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 Federal Award Notices

The notice of award will be provided electronically to the successful applicant's point of contact listed in the application. Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b. For the successful application, USAID may reach out to the applicant with clarifying questions and a request for a revised application by a specified date. USAID reserves the right to award without requesting clarifications or additional detail on an application.

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.

Applicants are advised that costs incurred prior to receipt of either a fully executed Agreement (in electronic or print form) or a specific, written authorization from the Agreement Officer are not allowable and therefore are ineligible for reimbursement under the Agreement. The Agreement Officer will also provide written notification electronically to the unsuccessful Applicants' Points of Contact. Requests for additional information from unsuccessful Applicants will not be considered.

F.2 Administrative & National Policy Requirements

The resulting cooperative agreement will be administered in accordance with the following policies and regulations. :

<u>For U.S. Non-governmental organizations</u>

- 2 CFR 700 https://www.ecfr.gov/cgi-bin/text-idx?SID=531ffcc47b660d86ca8bbc5a64eed128&mc=true&node=pt2.1.700&rgn=div5
- 2 CFR 200 https://ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations https://www.usaid.gov/sites/default/files/documents/303mab.pdf

<u>For Non-U.S. Non-governmental organizations</u>

- ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations https://www.usaid.gov/sites/default/files/documents/303mab.pdf

<u>For Public International Organizations (PIOs)</u>

- ADS 308mab, Standard Provisions for Cost-Type Awards to PIOs https://www.usaid.gov/sites/default/files/documents/308mab.pdf

USAID/India Office of Acquisition and Assistance (OAA) will administer this award. The AO will designate an AOR to review, concur and/or approve on items outlined in Substantial Involvement (Section B.3 of this NOFO).

F.3 Reporting Requirements

The Recipient will adhere to all reporting requirements listed below; further, US Non-governmental organizations need to be in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.327-329).

The Recipient will submit all reports by the due date for approval from the Agreement Officer's Representative (AOR). The Recipient will consult with the AOR on the format and content prior to submission. In addition to the reports below, the AOR may request additional information to contribute to the internal USAID project reviews.

F.4 Program Income

If the successful applicant is a non-profit organization, any program income generated under the award will be added to USAID funding (and any cost-sharing that may be provided, if applicable), and used for program purposes. However, pursuant to 2 CFR 200.307 Program Income, if the successful Applicant is a for-profit or commercial organization, any program income generated under the award will be deducted from the U.S. Government share of this award to determine the amount of USAID funding.

Program income will be subject to 2 CFR 200.307 for U.S. NGOs or the standard provision entitled Program Income for non-U.S. NGOs. If the successful Applicant is/are a PIO, any program income generated under the award will be added to USAID funding (and any non-USAID funding that may be provided) and used for program purposes.

F.5 Environmental Compliance

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

1a) Respondent environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Notice of Funding Opportunity.

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

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

An Initial Environmental Examination (IEE) will be prepared and approved during the co-design and selection of various components for this activity. Prior to award, USAID will approve the IEE and also make it publicly available in the USAIS's environmental compliance database. The IEE will cover activities expected to be implemented under this award. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded after the award.

2a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.

2b) If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

2c) 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.

3) If the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an Environmental Assessment (EA), the recipient shall:

3a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

3b) Integrate a completed EMMP or M&M Plan into the initial work plan.

3c) 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.

4a) Cost and technical applications must reflect environmental compliance costs and approaches.

4b) Recipient will be expected to comply with all conditions specified in the approved IEE and/or EA.

4c) If an IEE, as developed, includes a Positive Determination for one or more activities, the recipient will be required to develop and submit an EA addressing these activities.

5a) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the NOFO should therefore include as part of their application their approach to achieving environmental compliance and management, to include:

5b) The respondent's approach to implementing an IEE or EA.

5c) The respondent's approach to providing necessary environmental management expertise, including examples of past experiences of environmental management of similar activities.

5d) The respondent's illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

F.6 ADS 303.3.35.2 Covered Telecommunication and Video Surveillance Equipment or Services (Effective Date: 08/18/2020

Effective August 13, 2020, a recipient may not procure covered telecommunication equipment or services for the implementation of their program using award funds. 2 CFR 200.216, applicable to US organizations, and the standard provision "Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment" applicable to non-US NGOs, implement Section 889(b) of the John S. McCain National Defense Authorization Act (NDAA) for Fiscal Year 2019 (Pub. L. 115-232) that prohibits the use of award funds, including direct and indirect costs, cost share and program income, to procure covered telecommunication and video surveillance services or equipment. The statute covers certain telecommunications equipment and services produced or provided by Huawei Technologies Company or ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

Such covered telecommunication equipment or services must not be reimbursed to the recipient as a direct or indirect cost or accepted as part of cost share. Additionally, the recipient must not use any program income generated under the award to purchase covered telecommunication equipment or services.

F.7 Procurement of "Covered Material"

1. Except as provided in paragraph 2 below, and notwithstanding anything in this [award or contract] to the contrary, no funds under this [award or contract] may be used for the procurement of "Covered Material" as listed below without the prior written consent of the [Contracting/Agreement] Officer. For purposes of this [provision or special contract requirement], "Covered Material" shall consist of the following:

- Surgical N95 Filtering Facepiece Respirators, including devices that are disposable half-face-piece non-powered air-purifying particulate respirators intended for use to cover the nose and mouth of the wearer to help reduce wearer exposure to pathogenic biological airborne particulates;
- PPE surgical masks, including masks that cover the user's nose and mouth and provide a physical barrier to fluids and particulate materials;
- PPE nitrile gloves, including those defined at 21 CFR 880.6250 (exam gloves) and 878.4460 (surgical gloves) and such nitrile gloves intended for the same purposes; and
- Level 3 and 4 Surgical Gowns and Surgical Isolation Gowns that meet all of the requirements in ANSI/AAMI PB70 and ASTM F2407-06 and are classified by Surgical Gown Barrier Performance based on AAMI PB70.

For clarity, non-medical grade masks, including cloth masks, are not included in the list of Covered Material above. Further, USAID may modify the list of Covered Material from time-to-time, in writing; any such changes to the list shall apply prospectively.

2. The restrictions set forth in paragraph 1 above shall not apply to the procurement of Covered Material:

(a) for the protection of and use by the [recipient's or contractor's] or sub-[recipient's or contractor's] staff; or

(b) for the safe and effective continuity of USAID-funded programs, including for the protection of beneficiaries, provided that such items are manufactured locally or in the same geographical region as the country in which USAID is providing assistance, as defined by the U.S. Department of State's regional system (Africa, East Asia and the Pacific, Europe and Eurasia, Near East, South and Central Asia, and Western Hemisphere), and provided that such items are not, and could not reasonably be expected to be, meant for the United States market.

The [AO or CO] may change the exemptions set forth in this paragraph in writing; any such changes shall apply prospectively.

3. "Staff" for the purposes of the Exception in 2(a) is defined as any individuals receiving financial compensation from the recipient or contractor or sub-recipient or subcontractor.

4. For each purchase of Covered Material under Exception 2(b), the recipient or contractor must provide the AO/CO with contemporaneously dated documentation that the order of Covered Material is not meant for, and could not reasonably be meant for, the U.S. market. The AO/CO will then upload the statement into ASIST. This documentation can take the form of a simple email verification from a vendor or a brief, contemporaneously dated, written statement or e-mail from the recipient or contractor confirming its conversation with the vendor.

F.8 Program Reporting

The Recipient must submit a copy of each report required by this Agreement to the Agreement Officer, the AOR, and the Development Experience Clearinghouse (DEC). Submission to the DEC must be through the public-facing and searchable DEC Website (http://dec.usaid.gov).

The title page of all reports forwarded to USAID must include a descriptive title, the author's name, Cooperative Agreement number, the project number and title, the Recipient's name, the name of the USAID office, and the publication or issuance date of the report.

(1) Annual Implementation Plan

The Recipient must work with USAID to develop and submit an initial annual implementation work plan within 45 calendar days of the effective date of the award. Subsequent annual implementation plans will be submitted within 30 days before the start of the succeeding fiscal year. The AOR will review and approve the plan within 15 calendar days after receipt of the draft implementation plan.

The implementation plan must include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the Monitoring, Evaluation and Learning (MEL) Plan
- Timeline for implementation of the year's proposed interventions, including target completion dates
- Information on how interventions will be put in place
- Gender Action Plan that will define how gender will be integrated in the activity cycle
- Environmental Risk Mitigation Plan which will describe how environmental compliance and climate risk management will be integrated into activity interventions
- Personnel requirements to achieve expected outcomes
- Details of collaboration with other major partners
- Annual budget with estimates of projected monthly expenditures

(2) Monitoring, Evaluation and Learning (MEL) Plan

The MEL Plan must describe the agreed upon framework of goals, outcomes, and outputs for the program, along with performance indicators, baselines and targets defined for each, and sex-disaggregated where appropriate. The MEL Plan must describe the evaluative work that the implementing partner will conduct for its own management decision-making, institutional learning, and accountability purposes (see ADS 203.3.1, as revised, for more detailed guidance).

During the first sixty (60) days after the award is made, the Recipient will work closely with the USAID AOR to finalize its MEL Plan. The plan must identify specific indicators for measuring the following aspects of the recipient's performance:

- progress toward meeting program objectives and sub-objectives;
- time frame for achieving these objectives and sub-objectives;

The Recipient will collaborate with the USAID AOR to review/update its MEL Plan, and to monitor and report to USAID.

Both quantitative and qualitative indicators need to be developed and special attention paid to data sources, collection methods, and data quality assessment.

Program monitoring and evaluation comprises an essential component of this cooperative agreement for the following reasons:

- informs USAID of progress;
- enables detailed and on-going design of activities and sub-activities;
- builds counterparts' capacity to collect and analyze the data for sound decision-making; and

At a minimum, the MEL Plan must include the following:

- Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
- Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
- Means of addressing a discovered lack of progress or success. Procedures will focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- A learning and research agenda and how this agenda will help achieve activity level results and contribute to national and international knowledge and learning.
- Information about all activities to be monitored under the MEL Plan. The list of activities must be provided in a logical framework which:

- Links activities to Agreement results—both those dictated by USAID in the program description and lower level or complementary results contained in the Recipient's approach.
- Describes assumptions being made about the relationship of the activity to the Agreement result.

- Identifies the indicators against which progress is to be measured. Includes methods to be used for monitoring
- Provides an illustrative schedule for discrete monitoring activities tied to the overall program implementation plan.

- Gender Consideration:

To the greatest extent possible, the Recipient should seek to include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc. The Recipient must collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

- The different roles and status of women and men affect the activities to be undertaken; and
- The anticipated results of the work would affect women and men differently.

(3) Quarterly Performance Reports

The Recipient will submit quarterly reports that give insight into the progress of planned activities. Such reports follow USAID fiscal quarters, i.e., Quarter 1 covers October-December; Quarter 2 covers January-March; Quarter 3 covers April-June; Quarter 4 covers July-September. The quarterly report is due within 30 days after the fiscal quarter's end. In lieu of the fourth quarter report, the Recipient will submit an Annual Progress Report (see Section F.4(4)4 below).

The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the quarter. In addition, the narrative report will indicate key implementation challenges encountered and how they were, or are planned to be, resolved. To the extent where MEL Plan includes quarterly targets, this should be reflected in the narrative report.

(4) Annual Progress Reports

The Recipient must submit an annual progress report within 30 days after the end of the fiscal year to cover annual performance from the fiscal year. At a minimum, both quarterly and annual progress reports will contain:

- Progress (interventions completed, benchmarks achieved, and performance standards completed) made since the last report by region and province as applicable
- Problems encountered and whether they were solved or are still outstanding

- Proposed solutions to new or ongoing problems
- Success stories
- Security concerns
- Information on new opportunities for program expansion
- Qualitative data on program achievement and results
- Updated/filled MEL Plan, as an attachment
- Documentation of the best practices that can be taken to scale
- Progress to date on sustainability, gender and environmental mitigation plans
- Update on monthly expenditures for the quarter vis-à-vis annual budget

(5) Financial Reporting:

(a) Quarterly Financial Report

The Recipient must submit the Federal Financial Form (SF-425) quarterly, no later than 30 days after the end of the quarter to the Agreement Officer Representative (AOR) and the Controller.

Electronic copies of SF-425 and instructions for using it can be found at: http://www.forms.gov/bgfPortal/docDetails.do?dId=15149

(b) Final Financial Report

Within 90 days following the estimated completion date of this award, the Recipient must submit to the: (a) USAID/Washington, M/CFO/CMP-LOC Unit; (b) Agreement Officer (indirco@usaid.gov); (c) Controller (indiarfmo@usaid.gov); and (c) Agreement Officer Representative (AOR).

(c) Foreign Tax Reports

Reporting of foreign taxes under this agreement shall follow the standard provision entitled "Reporting Host Government Taxes" in this award.

Host government taxes are not allowable where the Agreement Officer provides the necessary means to the recipient to obtain an exemption or refund of such taxes, and the recipient fails to take reasonable steps to obtain such exemption or refund. Otherwise, taxes are allowable in accordance with the Standard Provision, "Applicability of 2 CFR 200 and 2 CFR 700," and must be reported as required in this provision.

The Recipient must include this reporting requirement in all applicable sub-agreements, including subawards and contracts.

(6) Close-out Plan

No later than six (6) months prior to the completion date of the agreement, the Recipient will submit a close-out plan for the Agreement Officer (AO) approval. The close-out plan shall include:

- Draft property disposition plan
- Plan for the phase-out of in-country operations
- Delivery schedule for all reports or other deliverables required under the agreement
- Timetable for completing all required actions in the close-out plan, including submission date of the final property disposition plan to the AO.

(7) Final Report

The Recipient must submit, within ninety (90) days following the expiration of this cooperative agreement, a detailed final report. The final report will cover the entire period of the award and will include, but is not limited to:

(i) executive summary;
(ii) overall description of the activities and methods of assistance used under the Program during the period of this Cooperative Agreement, and the significance of these activities;
(iii) brief description of the cumulative results towards achieving the program objectives and the performance indicators, as well as an analysis of how the indicators illustrate the program's impact on the accomplishment of the program's overall objectives;
(iv) an assessment of impact of the program in assisting USAID in meeting targets, as well as any unmet targets and the reasons for them;
(v) section reporting on gender, sustainability and institutionalization, environmental compliance and climate risk mitigation;
(v) success stories;
(vi) discussion on the issues and problems that emerged during program implementation and how they were overcome;
(vii) cost-effectiveness;
(viii) lessons learned; and
(ix) recommendations for USAID's future interventions.

The final/completion report shall also contain an index of all reports and information products produced under this agreement.

F.9 Branding & Marking

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funded under a USAID grant or cooperative agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID identity. See Section 641, Foreign Assistance Act of 1961, as amended and 2 CFR 700.16.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan by the Apparently Successful Applicant, as defined in the regulation. A Branding Implementation Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link:

https://www.usaid.gov/sites/default/files/documents/1868/320.pdf

The Branding and Marking Plan may include a request for a waiver or exceptions to marking requirements established in 2 CFR 700.16. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and Marking Plan (including any request for exceptions and waiver) of the ASA, consistent with the provisions ”Branding Strategy”, “Marking Plan”, and “Marking of USAID-funded Assistance Awards” contained in AAPD 05-11 and in 2 CFR 700.16. Please note that in contrast to “exception” to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 1 CFR 700.16(j).

END OF SECTION F

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

G.1 AGENCY POINT OF CONTACT(POC) FOR QUESTIONS

Agency Point of Contact

Name: Armando Espinosa
Title: Agreement Officer
Email: aespinosa@usaid.gov

Above is the Points of contact (POC) for questions while the funding opportunity is open.

All prospective Applicants must send their questions in writing by the due date and time specified on the cover page of this NOFO in order to allow a reply to reach all prospective Applicants before the submission of their Initial Application. Oral explanations or instructions given before award will not be binding. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment of this NOFO if that information is necessary in submitting applications or if lack of it would be prejudicial to any other prospective Applicants.

END OF SECTION G

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SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

ATTACHMENTS:

1. Annex 1: Certifications, Assurances, Other Statement of the Recipient and Solicitations Standard Provisions
2. Annex 2: Past Performance Questionnaire
3. Annex 3: Preliminary Gender Equality and Social Inclusion Analysis

END OF SECTION H

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ANNEX 1: CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATIONS STANDARD PROVISIONS

The following certifications are required for full application submissions in Phase 3.

Certification, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions can be at website http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

Part I – Certifications and Assurances

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

Part IV – Representation by Organization Regarding a Delinquent Tax or a Felony Criminal Conviction

Part V – Other Statements of Recipient

Part VI – Standard Provisions for Solicitations

CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATIONS STANDARD PROVISIONS

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

1. Assurance of Compliance with Laws and Regulations Governing NonDiscrimination in Federally Assisted Programs

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

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

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

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

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

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

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

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

2. Certification Regarding Lobbying

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

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

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

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

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

3. Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure."

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

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

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

5. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

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

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

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

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

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

3. For purposes of this Certification –

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

(i) “Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.
(ii) “Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp); or
(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

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

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

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

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

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

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

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

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

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

7. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing NonDiscrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.
These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including

installment payments after such date on account of applications for Federal financial assistance that was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or Annual Program Statement No. ______________________________

Application No. __________________________________

Date of Application _______________________________

Name of Recipient ________________________________

Typed Name and Title ___________________________________

Signature _________________________________

Date

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

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

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

Signature: ____________________________

Date: ________________________________

Name: _______________________________

Title/Position: _______________________________

Organization: _______________________________

Address: _____________________________

Date of Birth: _______________________________

NOTICE:

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

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

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

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

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

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

Signature: ____

Name: _____________________________________

Date: ______________________________________

Address:

Date of Birth: _____________________________________

NOTICE:

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

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

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) "Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2) "Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government".

It is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1) The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
(2) The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Part V – Other Statements of Recipient

1. Authorized Individuals

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

Name Title:

Telephone No.

Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: ______________________________

3. Data Universal Numbering System (DUNS) Number

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

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

(1) Recipient's name.

(2) Recipient's address.

(3) Recipient's telephone number.

(4) Line of business.

(5) Chief executive officer/key manager.

(6) Date the organization was started.

(7) Number of people employed by the recipient.

(8) Company affiliation.

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

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

system. DUNS:

4. Letter of Credit (LOC) Number

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

LOC: ____

5. Procurement Information

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

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

$____

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

TYPE/DESCRIPTION (Generic) ____________________
QUANTITY ________________________________
ESTIMATED UNIT COST ______________

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

TYPE/DESCRIPTION________________
QUANTITY__________________________
ESTIMATED GOODS ____________________
PROBABLE GOODS ______________________
_____
PROBABLE (Generic) ____________________
UNIT COST __________________________
SOURCE ______________________

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

TYPE/DESCRIPTION________________
QUANTITY__________________________
ESTIMATED_________________
PROBABLE __________________
INTENDED USE (Generic) _________________
UNIT COST _______________________
SOURCE _________________________

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

TYPE/DESCRIPTION_______________
QUANTITY_________________
ESTIMATED_______________
PROBABLE SUPPLIER ________________
NATIONALITY __________________
RATIONALE (Generic) _________
UNIT COST (Non-US Only) _______________
FOR NON-US __________________
_____

6. Past Performance References

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

7. Type of Organization

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

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

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

8. Estimated Costs of Communications Products

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

Part VI – Standard Provisions for Solicitations

(Note: the full text of these provisions may be found at: https://www.usaid.gov/ads/policy/300/303maa and https://www.usaid.gov/ads/policy/300/303mab). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

Please note that the resulting award will include all standard provisions (both mandatory and required as applicable) in full text.

1. Branding Strategy – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

(i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at http://www.usaid.gov/branding, unless Section F of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

(ii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(iii) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

(iv) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section F of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcements, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from the host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://www.usaid.gov/branding. Section F of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the

Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PROVISION)

[END OF ANNEX I]

ANNEX 2: PAST PERFORMANCE QUESTIONNAIRE

On the following pages, summarize the Applicant's performance in each rating factor listed below. Each factor has a set of sub factors with four possible adjectival ratings. Determine the adjectival rating that most nearly represents your experience with this applicant and indicate your assessment by placing an "X" under the appropriate heading.

Applicant performance factors are:

A. Institutional Capacity

B. Quality of Service

C. Timeliness of Performance

D. Teaming Arrangements

Adjectival ratings are defined below and should be used as a reference in assessing performance:

OUTSTANDING	Applicant's performance significantly exceeded the agreement requirements.
GOOD	Applicant's performance exceeded the agreement requirements.
SATISFACTORY	Applicant's performance met agreement requirements.
UNSATISFACTORY	Applicant's performance was less than acceptable and was unable to perform the agreement requirements successfully.
N/A	Not applicable

A	Institutional Capacity	Outstanding	Good	Acceptable	Unsatisfactory	N/A	Additional Comments
1.	Did Applicant provide effective contract/agreement and project management?						
2.	How effective has the Applicant been in understanding and responding to Customer's Organization?						
3.	Did the Applicant establish and maintain effective quality control standards and procedures?						
4.	Did the Applicant demonstrate cost efficiencies in performing the required effort and was the effort performed within the estimated cost/price?						

B	QUALITY OF SERVICES	Outstanding	Good	Acceptable	Unsatisfactory	N/A	Additional Comments

1.	Did the Applicant provide quality services?						
2.	Did the Applicant provide quality reports and documentation (i.e., accurate,current and complete)?						
3.	Was the Applicant able to solve any performance problems without extensive guidance from the Customer Organization counterparts?						
4.	Did the Applicant supply professional and qualified personnel?						
5.	Did the Applicant respond to emerging situations to include staffing and responsiveness?						
C	TIMELINESS OF PERFORMANCE	Outstandi ng	Good	Acceptable	Unsatisfact ory	N/A	Additional Comments
1.	Did the Applicant adhere to the deliverable/report schedules in the:						
	(a) Performance of Services?						

	(b) Delivery of reports and other documentation?						
	(c) Qualified Staffing?						
D	TEAMING ARRANGEMENTS	Outstanding	Good	Acceptable	Unsatisfactory	N/A	Additional Comments
1.	Did the Applicant have an effective partnership with its team members?						
2.	What percentage of the contract/agreement work was performed by Applicant?						
3.	Did the Applicant effectively manage sub-grant programs?						
4.	Did the Applicant utilize local organizations and/or networks effectively?						

END OF PAST PERFORMANCE QUESTIONNAIRE

[END OF ANNEX 2]

ANNEX 3: PRELIMINARY GENDER EQUALITY AND SOCIAL INCLUSION ANALYSIS

BACKGROUND

Pursuant to ADS 205.3.1 and in alignment with the USAID Gender Equality and Female Empowerment Policy, individual Operating Units (OU) are responsible for conducting gender analyses at the design stage of a new activity and for ensuring that the Policy is implemented throughout each stage of the Program Cycle. This Gender Analysis pertains to the design of USAID/India's planned Trees Outside Forests in India Activity, which aims to expand trees outside of forests in India for enhanced provision of ecosystem services and increased inclusive economic opportunities. India's ability to achieve important national and international commitments depends on her capacity to increase the productivity and profitability of agroforests, farmforests and urban forests, and as critical components of inclusive and sustainable economic growth that meets local needs and addresses global environmental challenges. The activity complements USAID/India's ongoing Forest-PLUS 2.0 activity and the Sustainable Landscapes DCA that will provide a portfolio-risk credit guarantee to incentivize private capital mobilization.

The proposed activity will continue the successful model of close collaboration and cooperation among implementing partners of the U.S. Agency for International Development (USAID/India), the Ministry of Environment, Forest and Climate Change (MoEFCC) of the GoI, academic and research institutions, private sector entities. Through this proposed activity, USAID and GoI will partner with farmers and farmer producer organizations, public (urban) and private land managers, processors and traders in agroforestry products, business incubators, insurance companies, and many other stakeholders to enhance productivity, strengthen value chains, and forge partnerships for sustainable growth that contributes to India meeting its goals of economic and ecological sustainability through landscape management.

There are three overarching objectives for this activity: 1. Strengthen the enabling environment for TOF expansion in India; 2. Incentivize TOF through reduced risks and improved economic opportunities; and 3. Enhance information systems and processes to support TOF.

GENDER ANALYSIS

Investments in gender equality and social inclusion can positively impact women's and men's (including marginalized and vulnerable groups') livelihoods, health, and education, as well as improve their stewardship and management of land and associated resources. USAID recognizes that an effective project must work to close the following gender gaps in the Indian forestry/ agriculture/ agroforestry sector:

● Ensure that women and marginalized groups(women, the landless, marginal farmers, the disabled and youth) are meaningfully able to participate in decision-making;

● Enhance women's access to agroforestry related markets and revenues via access to financial services and technical assistance;

● Design/demonstrate agroforestry models that meets the needs and priorities of women and marginalized groups;

● Organize training programs suited to the specific requirements of women and marginalized communities; and

● Monitor and reduce the gaps in wages among women and men workers engaged in agriculture/agroforestry. It is important to note that a gender analysis is not a "woman's analysis," but needs to consider the different threats, impacts, and opportunities of each gender. As such, this analysis considers gender issues throughout the various stages of the TOFI – from activity design and implementation, monitoring and evaluation (M&E), and learning and adapting. The analysis given below was done based on extensive desk study.

Laws, Policies, Regulations, and Institutional Practices.

In recent times there has been efforts to make policies, laws and regulations gender sensitive, and there have been conscious efforts by government agencies to empower women and marginalized communities. For example, one of the main objectives of India's National Agroforestry Policy, 2014 is to enhance the livelihood opportunities of small farmers, the landless and women.

Although the environment policy for addressing gender inequity has improved slightly over the past decade, women continue to be disadvantaged by insecure access and property rights to land resources, by discrimination and male bias in the provision of services like credit and technology, and by exclusion from decision making at household, community and national levels.

And, throughout the country, there may be implicit gender biases in the manner in which the laws, policies, and regulations are implemented and enforced - as many women and marginalized groups may not have access to pertinent information regarding their applicability and associated consequences if violated.

Cultural Norms and Beliefs.

In a large and diverse country such as India, there is an extreme variance in cultural norms and beliefs throughout India. However, in both traditional and progressive communities and households, some commonalities exist regarding how men and women behave in social situations and interact with one another. Of note, gender self-segregation occurs in many parts of the country throughout various social strata. In public/social situations that are mixed, it is often men who have louder voices and are in stronger positions to set cultural, political, and economic agendas. Similarly, people from the LBGT communities are often discriminated against and often don't participate in social and public events and gatherings. All of these can have implications in forest/agroforestry sector planning and strategic design.

Land ownership and inheritance.

It is men who primarily own the land in India, with only 10.3 percent of the land owned by women. This is primarily due to traditional social norms that favor male inheritance. While the inheritance laws have progressively been amended to give equal inheritance rights for sons and daughters, the laws have been largely ineffective in practice. For example, the Hindu Succession Act was amended at the national level in 2005 providing equal inheritance rights to widows, sons and daughters when a man dies intestate. However, more often the legal rights of women laid down in such laws are not invoked, either due to societal pressures or lack of awareness of the legal provisions.

With respect to marginalized groups, members of marginalized communities and certain religious groups (such as Muslims) have lower rates of land ownership compared to others. For example, 93 percent of Scheduled Caste (SC) members are marginal farmers, owning less than one hectare as of 2013. On the other hand, there are provisions in the Indian constitution and in relevant laws that protect the interest of the marginalized communities. For instance, the "Fifth Schedule of the Indian constitution declares areas which have predominance of Scheduled Tribes (ST) as "Scheduled Areas"" to protect the tribal autonomy and culture. Many states have passed laws to regulate sale or lease of land in Scheduled areas to non-tribals.

Gender Roles, Responsibilities, and Time Use.

Increasingly, women comprise a greater portion of India's labor force. However, throughout much of the country, men and women assume traditional gender roles with regard to employment, productive/social use of time, household responsibilities, and foci of educational pursuits.

In the agriculture and agroforestry sector too, women play a significant and crucial role. There is hardly any activity in agricultural production, except maybe plowing, in which women are not actively involved. Women perform labor intensive jobs such as weeding, hoeing, harvesting, etc. And agriculture continues to absorb and employ 2/3rd of the female workforce but fails to give them recognition of employed labor. In addition to their labor inputs, women possess detailed knowledge about agriculture and use of plant products and are primarily responsible for production of secondary crops such as pulses and vegetables which are important sources of nutrition to their families.

Men’s and women’s choices vary when it comes to selection of crops. For instance, with respect to agroforestry species, men often prefer cash crops like timber trees while women’s priority is for food security, thereby preferring fruit trees over timber trees. However, experience from across India indicates that it’s men’s preferences that prevail.

The technological innovations in agriculture are primarily focused on addressing the needs of men. Mechanization, for example alleviates the burden of tasks that are the responsibility of men, leaving women’s burden unattended. Experience from various agriculture programs also indicate that training is primarily targeted at men, addressing their needs and convenience. Considering the dual responsibilities of women, within and outside their homes, there is a need for organizing training programs specific to the needs of women and at a time and location convenient to them.

Control over Assets and Resources, and Decision-making

In India, as men migrate to urban areas for non-farm sector employment, women are increasingly playing a greater role in agriculture. As a result of the outward migration of men, women managed households now comprise 32% of the rural houses. This fact along with the equality issue make a strong case for women to have ownership/co-ownership and control over land resources. However, women continue to remain the largest group of landless laborers with little real security in case of break-up of the family owing to death or divorce; inheritance laws and customs discriminate against women and give sole title to land – and hence the security needed for obtaining production credits – to the men. Research from several Indian states indicate that women’s ownership of land and/or house reduces domestic violence against women.

Women are largely viewed as helpers rather than farmers and rarely have control over the money they earn through agriculture. Further, as many may not be the primary “bread-winners” in their household, women may not have a full grasp of family finances.

The TOFI activity is not planning to address some of the inherent legal issues and the land ownership issues. The GOI specifically requested that USAID projects avoid work in the policy and legal structures, and requested the USAID remove activities that focused on these topics under past activities. However, this activity will address other gaps and barriers that will enable women and marginalized groups to actively participate and get benefitted from agroforestry interventions. The analysis below specially looks at the needs of women, the landless, marginal farmers, the disabled and youth.

Analysis of Issues and Recommendations

For those gender and social inclusion issues that have been identified, the table below presents recommended actions that will be taken by USAID and the implementing partner to ensure that gender equity and social inclusion remains at the forefront of the activity design.

implementation and MEL.

Table 1. Potential gender and social inclusion issues and actions to address the issues

Potential Gender and Social Inclusion Issues and Relevance to the Activity	Recommendations, Specific Actions, General Considerations
Normally women and marginalized communities are excluded from decision-making with respect to agriculture and agroforestry.	The gender and social inclusion analysis by the implementing agency will identify the barriers in the participation of women, marginalized communities, and youth, and will devise strategies to address these barriers. The activity will develop gender specific material ensuring that outreach and communication efforts are delivered in a language that is accessible to women. While facilitating value chains and setting up enterprises, TOFI activity will identify opportunities to promote women entrepreneurs and their products. The activity will also organize focused training for skill development of youth (including women), the disabled and the landless (for example in making good quality furniture from wood). Landless people typically don't benefit from land management projects. Skill development of the landless would enable their participation in value chains.
Poor participation of women and marginalized communities in training activities as those are not designed to address the needs and convenience of women and marginalized communities.	The TOFI will encourage women from NGOs and communities to participate in consultations. TOFI activity will make all efforts to organize the meetings and training activities at such localities and at times which will enable participation of women (and marginalized communities). Also, efforts would be made to develop gender-specific outreach material, ensuring that outreach and communication efforts are delivered in a language/medium that is accessible to women.
The technological innovations in agriculture/agroforestry are primarily focused on addressing the needs of men.	While developing/demonstrating agroforestry models, TOFI activity will ensure that the preferences/needs of the women and marginalized communities are addressed. For example, women prefer agroforestry models based on fruit trees and small and marginal farmers (i.e., farmers with limited land holdings)

	generally prefer planting along farm boundaries as compared to inter cropping and block plantations. The activity will take these aspects into consideration while developing/demonstrating agroforestry models.
Men and women are paid differently for similar efforts.	In facilitating setting up of enterprises, the TOFI activity will sensitize potential entrepreneurs of the need for paying men and women equally for undertaking similar work.

END OF PRELIMINARY GENDER EQUALITY AND SOCIAL INCLUSION ANALYSIS

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