



# USAID | BOSNIA-HERZEGOVINA

Issue Date:	March 15, 2019
Deadline for Question:	March 25, 2019; 9:00 a.m. local Sarajevo time
Pre-Concept Paper Conference:	March 27, 2019; 10:00-12:00 local Sarajevo time
First round of Concept Papers Closing Date:	April 18, 2019; 9:00 a.m. local Sarajevo time
Co-creation Conference First Round:	May 10, 2019; Time TBD
Second Round of Concept Papers Closing Date:	October 21, 2019; 9:00 a.m. local Sarajevo time
Co-creation Conference Second Round:	TBD

Subject: Annual Program Statement (APS) Number: 72016819APS000001

Program Title: USAID/Bosnia-Herzegovina *localworks* (Snaga lokalnog) Activity

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001

Dear Applicants

The United States Agency for International Development (USAID) is seeking concept papers from local non-governmental organizations (NGOs), partnerships and consortia (see Section C Eligibility Information for additional details about eligibility) to implement USAID *Localworks* (Snaga lokalnog) initiative. Please note, at this time we are not accepting full applications. Only concept papers will be reviewed. Applicants who are successful in the concept paper stage will be invited to join a co-creation process. Following the co-creation process, selected applicants (individual organizations and/or consortia developed during co-creation) will be requested to submit a full application, based on instructions provided in greater detail by the Agreement Officer. Instructions on how to prepare a concept paper are provided within this APS. USAID reserves the right not to conduct the co-creation process.

Subject to availability of funds, USAID intends to grant up to \$6.5 million in total for all awards under this APS. Individual awards will range in total value from \$250,000 to \$500,000, with a period of performance ranging between three to five years. Awards, if any, will be made in accordance with evaluation procedures provided in Section E Application Review Information. Concept papers under this APS must be received by either of the two closing dates/times indicated at the top of this cover letter.

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](http://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](http://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](mailto:support@grants.gov) for technical assistance. Applicants are not required to be registered on [grants.gov](http://grants.gov) in order to download this APS.

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 D.6.f. 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 by the deadline will be furnished to all potential applicants through an amendment to this notice posted to [www.grants.gov](http://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,



Sarah R. Bueter  
Agreement Officer

Attachments:  
Attachment 1-Initial Environmental Examination

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## SECTION A: PROGRAM DESCRIPTION

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.

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.

### PROGRAM DESCRIPTION

#### 1. GOAL

The goal of USAID’s *localworks* (Snaga lokalnog) Activity is to increase the quality, sustainability, and resilience of community networks to enact change.

#### 2. APPROACH

Localworks is a five-year activity which aims to support locally-owned development, while helping USAID innovate new ways of cooperating with local communities. Localworks assumes the existence, in communities across Bosnia and Herzegovina, of dedicated and innovative individuals capable of solving problems, and seeks to provide assistance and resources to help bring such people together to invigorate local development.

As such, Localworks does not have a concrete strategic focus, nor a predefined process for community engagement and decision making. Rather, it is our desire to support initiatives that allow local communities to determine how best to help themselves. Through this APS, USAID is seeking to identify local organizations who can operate as "Local Resource Organizations" (LRO). Please note that USAID broadly defines the term Local Resource Organization to be any non-governmental entity. Localworks is open for all those applicants (including for-profit businesses, faith based organizations, non-profit organizations, and others) that is able to prove how it would accomplish this program.

These organizations will be the conduit between USAID and communities, and play the main role in helping identify, network, and support citizens and groups that can affect positive changes.

A common observation about citizens in Bosnia and Herzegovina is that they are apathetic. It is our belief that this is a misnomer. Rather than being apathetic, citizens

either participate selectively in community development or feel disempowered, disenfranchised, or disillusioned. Ironically, this can be good news, because it means that the desire for change exists and local actors need only to capitalize on it in a sustainable way. Strengthening community initiatives that are able to bring together citizens to address concrete concerns is of crucial importance in re-building citizen faith that their actions can in fact make a difference.

This is a new program for USAID Bosnia and Herzegovina. The ultimate goal of this program is to learn about how to make existing networks and connections between local development actors more sustainable and enhance already existing resources. We wish to support local resource organizations, to create and nurture more sustainable “self-help mechanisms” throughout the country, and especially in regions where these kinds of mechanisms are not as readily available or sustainable as they are in major metropolitan areas. We hope to enable people to enrich their own communities and to help existing leaders encourage local development that is participatory and broad-based.

We are interested in working with a variety of organizations with various strengths in mobilizing and sustaining local initiatives, including organizations that fulfill all of the following traits:

- (1) trust and credibility from people within the communities which they call home;
- (2) never before directly received funds from USAID;
- (3) have gathered and maintained a constituency;
- (4) have demonstrated capability to be a connector - help people find resources to solve their problems;
- (5) have a desire to take steps to ensure the sustainability of their own organization;
- (6) the decision-making for at least part of the organization’s processes done in a democratic and/or inclusive mode; and
- (7) are non-government entities (including civil society organizations and businesses).

This funding opportunity is part of USAID’s larger efforts under the Localworks umbrella portfolio. To that end, the process and substance of the activities that result from this effort aim to contribute to the journey to self-reliance emphasized by the recent USAID focus. USAID defines Self-Reliance as a country’s ability to plan, finance, and implement solutions to solve its own development challenges. See <https://www.usaid.gov/selfreliance> for additional information.

USAID also anticipates that, through Localworks, we are able to learn about how to be more effective in supporting locally-led development. Localworks is intended to provide

local actors more flexibility to try innovative approaches at the community level and, through this program, we hope to glean how our own policies, processes, and approaches can be modified to be more effective.

### 3. OBJECTIVES

To achieve the aforementioned goals, Snaga lokalnog will support LROs to achieve the following:

1. Locally-led development established in and by local communities.  
  
Degree to which local actors are able to set priorities, influence direction, lead decisions, define success, and engage wider groups of citizens for the purpose of community development;
2. Identify and prioritize local issues and opportunities.  
  
Localworks does not have a specific list of preferred or non-preferred sectors or issues. Any issues or sectors important to local constituencies will be considered.
3. Mobilize local stakeholders to design and implement solutions to address the problems or to take advantage of the development opportunity. This will increase self-reliance within selected communities;
4. Enhance engagement of citizens on the local level;
5. Increase capacities of local actors to reach out to and engage citizens and other relevant stakeholders, as well as ties to local funding opportunities;
6. Increase number of local partnerships; and
7. Mobilize resources to address community needs and priorities at the local level.

### 4. OTHER REQUIREMENTS

A. Environmental Review: As provided in USAID regulation 22 CFR 216 Environmental Procedures, this activity will fall under the categorical exclusion provided in Sections 216.2(c)(1)(i) and (c)(2)(i), for training and technical assistance segment of the program, as it will not result in adverse environmental impacts. For any anticipated IT equipment procurement negative impact on environment is expected since the purchase of Eco-friendly equipment will ensure acceptable level of energy efficiency and donation. The IEE is attached to the APS (Attachment 1) and Applicants will need to incorporate IEE requirements in their applications.

B. Monitoring, Evaluation and Learning (MEL): MEL is a critical aspect of every USAID activity. Once awarded, USAID will work with the Snaga lokalnog recipients to develop MEL plans that measure changes in their communities. USAID reserves the right to do an evaluation at any point of the activity implementation. Any evaluation of this activity will be covered outside of the activity's budget and contracted directly to external sources by USAID.

[END OF SECTION A: PROGRAM DESCRIPTION]

## **SECTION B: FEDERAL AWARD INFORMATION**

### **1. Estimate of Funds Available and Number of Awards Contemplated**

USAID intends to award multiple cooperative agreements or grants pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide up to \$500,000 per award in total USAID funding over a five-year period. The award floor is \$250,000 per award.

### **2. Start Date and Period of Performance for Federal Awards**

The anticipated period of performance is up to five years. The estimated start date of the first round of awards will be September 22, 2019.

### **3. Substantial Involvement**

USAID anticipates having substantial involvement, depending on award mechanism, throughout the implementation of this program. USAID will make a determination on the intended substantial involvement by the Agency, and thereby the type of award(s), after the co-creation stage, depending on the results of this process. USAID's substantial involvement in awards is limited to cooperative agreements. The elements of substantial involvement are listed and described in ADS 303 Grants and Cooperative Agreements to Non-Governmental Organizations, available on this link <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>.

### **4. Authorized Geographic Code**

The geographic code for the procurement of commodities and services under this program is 937 (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source).

### **5. 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 Snaga lokalnog program 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.



## **6. Applicable facts and rationale for instrument selection**

The purpose of the activity is to support Local Resource Organizations in order to stimulate local resource utilization for local community development as part of the Mission's Localworks efforts. USAID/BiH plans to support approximately 15 LROs during the life of this five-year program. The main goal of the awards resulting from this APS is to help LROs to act as resource hubs to other local organizations who address community needs. LROs will be identified through this APS. Grant agreements may be the most appropriate legal instruments for this activity because the principal purpose of the relationship between the U.S. Government and selected LROs is to assist the recipients of grants to provide services to other development actors to carry out a public purpose of support authorized by law.

An addendum to the Instrument Selection Document will be done for each individual award resulting from this APS based on the determination whether a grant or cooperative agreement is appropriate for each particular award.

[END OF SECTION B: FEDERAL AWARD INFORMATION]

## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

Only local organizations as defined below are eligible for award. USAID defines a “local entity” as an individual, a corporation, a nonprofit organization, or another body of persons that:

- (1) Is legally organized under the laws of; and
- (2) Has as its principal place of business or operations in; and
- (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and
- (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance.

For purposes of this section, ‘majority owned’ and ‘managed by’ include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.

These eligibility requirements apply to the principal Applicant only.

### **2. Cost Sharing or Matching**

Cost sharing or matching means the portion of project costs not paid by Federal (USG) funds. Cost share may include project costs incurred by the Recipient from its own funds, or project costs financed with cash, services, or property contributed or donated to the Recipient from other non-USG sources, including sub-recipients. Cost share becomes a condition of an award when it is part of the approved award budget. USAID funding under this APS is not conditioned upon cost sharing. However, applicants are encouraged to voluntarily propose a cost share component to demonstrate its commitment to the proposed activities and to promote sustainability.

For recipient contributions to qualify as cost share, the cost share must be verifiable from the recipient’s records. Cost share can be audited. For non-U.S. entities it is subject to the Standard Provision, “Cost Share.” Refer to Section F.2 of this APS for links to these regulations and policies. USAID/BiH Mission Agreement Officer will determine whether any proposed cost share will become a condition of the award.

### **3. Other**

**Number of Applications:** Eligible organizations may submit one (1) concept paper in response to this APS regardless of whether an organization anticipates possibly becoming a Prime applicant or a subawardee on a full application. The proposed persons for the Key Personnel positions may be included on more than one (1) concept paper.

[END OF SECTION C: ELIGIBILITY INFORMATION]

## **SECTION D: APPLICATION AND SUBMISSION INFORMATION**

### **1. Agency Point of Contact**

Ms. Sarah R. Bueter  
Agreement Officer  
USAID/BiH/OAA  
SarajevoOAA@usaid.gov

Ms. Lidija Kranjec  
Acquisition and Assistance Specialist  
USAID/BiH/OAA  
[Lkranjec@usaid.gov](mailto:Lkranjec@usaid.gov)

### **2. Questions and Answers**

Questions regarding this APS must be submitted in writing via e-mail to [sarajevoaa@usaid.gov](mailto:sarajevoaa@usaid.gov) no later than March 25, 2019, 09:00 a.m. Sarajevo local time. Any information given to a prospective Applicant concerning this APS will be furnished promptly to all other prospective Applicants as an amendment to this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

Pre-concept paper conference will be held in Sarajevo, on March 27, 2019, with a possibility for virtual participation. Further details will be provided on grants.gov by March 25, 2019. Registration for the conference is mandatory and must be submitted in writing via e-mail to [sarajevoaa@usaid.gov](mailto:sarajevoaa@usaid.gov) by March 26, 2019, at 9:00 a.m. local Sarajevo time.

### **3. Selection Process**

Selection process under this APS includes several separate phases. Please read carefully description and requirements of each phase below. The information for Concept Paper Review Round 2 and all subsequent steps will be substantially the same as for Round 1; however the details and additional information will be provided through an addendum to this APS. USAID, at its sole discretion, reserves the right to review Concept Papers out of cycle.

#### Merit Review Phase 1 (Concept Papers)

The first phase includes a written concept paper and summary budget application. Applicants are invited to submit a concept note not to exceed five (5) pages. More information regarding the concept note submission is provided in Sections 6.A and 6.B below. Concept notes will be evaluated in accordance with the merit review criteria set forth in Section E.3.

USAID anticipates two possible results from the Concept Paper merit review process, “Pass” and “No Pass”:

- Pass - Invited for Co-Creation: Concept Paper generally satisfies the Concept Paper merit review criteria and receives a “Pass” status. USAID invites Applicant with co-creation invitation letter to engage in co-creation. The specific details of the co-creation process will be described in the invitation letter to Applicants of conditionally accepted Concept Papers. If the co-creation process is successfully concluded, USAID will follow with a request for submission of a full application.
- No-Pass: Concept Paper does not satisfy the Concept Paper merit review criteria and received a “No Pass” status. USAID rejects the Concept Paper and the process is ended.

### Co-creation Process (Phase 2)

After the concept papers are evaluated, all successful, prospective qualifying Applicants will be invited to continue the co-creation and collaboration process to identify and develop the activities that will help achieve the results desired under this APS; identify and incorporate additional partners; and determine respective roles and responsibilities related to the implementation of those activities. Additional instructions and criteria for full application submissions will be provided after evaluation of concept papers, co-creation workshop (if necessary), and when full applications are requested.

### Co-Creation Workshop

The primary component of the co-creation process will be a focused group workshop. USAID anticipates that the workshop will be held on or around May 10, 2019, in Sarajevo, Bosnia-Herzegovina. In-person participation in the workshop will be required for all successful concept paper Applicants; virtual participation of suggested additional partners may be considered if they cannot participate in person.

Discussions may continue between USAID and Applicants and among Applicants after the workshop is completed. Note: Travel costs - and any other costs associated with attending the workshop – will not be reimbursed by USAID. If a successful concept paper Applicant cannot attend the co-creation workshop in person or virtually, their concept paper will be removed from consideration for award.

Ideas described within the Concept Papers may be discussed and further developed in the workshop, but workshop thinking, and possibly eventual full applications, will not be limited to these ideas. The workshop is also intended to help identify potential consortia and partnerships to support these new or existing solutions and activities. More broadly, the workshop will facilitate learning, sharing, and networking across a range of partners and relevant technical experts. The workshop therefore may include technical experts,

potential resource partners, and other stakeholders invited by USAID, in addition to those Applicants who submitted successful concept papers. Given these goals, potential participants must be willing to share expertise and ideas, and must welcome a diversity of perspectives and expertise, with the common goal of learning and innovating together.

#### Merit Review Full Application (Phase 3)

After the co-creation workshop, full application instructions and criteria will be provided to the applicants (or groups of applicants that are proposing to work together.) All full applications will be reviewed for their technical merit against the full application evaluation criteria by the Merit Review Committee. The apparently successful applicants will be requested to submit a full application and finalize the Program Description – with inputs from USAID/BiH – and submit a full cost application to inform the resulting award. Applicants are responsible for all costs incurred prior to the award.

#### **4. Preparation of applications**

Applications (both concept paper and full application phases) must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- Written in English.
- Use standard A4 paper, single-spaced, 12 point Times New Roman font, 1” margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and Applicant’s name. Bullet points are allowed.
- Applicants should use simple English, no buzzwords. No charts, tables, graphs or call out boxes should be used in the first phase of application (Concept Note).
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The Cost Schedule (full application) must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant’s discretion, however, the official cost application submission is the unlocked Excel version.
- Do not submit electronic copies in .zip, .rar or similar format.
- The maximum size for one email inclusive of all attachments is 25MB.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

## 5. Application Submission Procedures

Each successful Applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.

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

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time. Applications must be submitted by email to [sarajevooaa@usaid.gov](mailto:sarajevooaa@usaid.gov) by the times and dates indicated on the cover letter of this APS. Late applications will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time/confirmation from the receiving office/certified mail receipt.

Email submissions must include the APS number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[APS number], [Organization's name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

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

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this APS, the initial point of entry to the government infrastructure is the USAID mail server. USAID will confirm receipt of every e-mail sent by an applicant.

## **6. Technical Application Format**

The technical application should be specific, complete, and presented concisely. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

### **A. Concept Paper Instructions**

Concept papers must describe the following:

1. How are you currently approaching and engaging with stakeholders in your community to address community needs? How do you currently help citizens to address problems and concerns? Include examples that can support your statements. .
2. Evidence that you are trusted and have credibility within your community. Be creative.
3. Geographic requirement – Must be located in the community for which you are doing the work; provide your address in the community for work planned.
4. What is your plan for future community development? With whom will you partner to achieve your objectives? Describe the extent and nature of these partnerships.
5. Explain how to ensure the sustainability of your local resource organization, as well as of your efforts to continue community development in the future.



Concept paper must not exceed 5 pages.

B. Full Technical Application Instructions (For Informational Purposes only at this stage):

Select applicants will elaborate on specific criteria arrived at during a collaborative process with USAID.

The technical application, at a minimum, must contain the following:

A. Cover Page: A single page with the program title and APS number, the name of the Applicant clearly identified. In addition, the Cover Page should provide a contact person for your organization, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the organization, and if not, that person should also be listed with contact information. The Data Universal Numbering System (DUNS) numbers of your organization shall also be listed on the cover page.

B. Table of Contents (TOC): Listing all parts of the technical application, with page numbers and attachments.

C. Executive Summary (MUST not exceed 2 pages): Briefly describe a) the proposed goals, b) the key activities and anticipated results, and c) managerial resources of your organization, and how the overall program will be managed.

D. Program Description (15 page limit) shall address the following:

1. Goal to improve locally-led community development in their geographic region;
2. Plan for mobilization of other local stakeholders; and
3. Plan for the organization's sustainability and growth.

**6. Business (Cost) Application Format**

A. Concept Paper Phase

The applicants are requested to submit a summary budget only at the concept stage (See Annex 2 – summary budget form).

Direct vs. Indirect Costs – See Section 7.B for detailed explanation of indirect cost methods (if applicable).

B. Full Application Phase

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, the applicants are encouraged to be as concise as possible while still providing the necessary details. The business (cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, the Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the Applicant's risk in accordance with 2 CFR 200.205. The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer, such as:

- Reviewed Financial Statements Report or an Audited Financial Statements Report;
- Bylaws, constitution, and articles of incorporation, if applicable;
- Copies of the applicant's travel, procurement, financial management, accounting manual and personnel policies and procedures, etc.;
- Any other information deemed necessary by the Agreement Officer to make an affirmative determination of responsibility (positive risk assessment determination).

Do not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing):

a) SF 424 Form(s)

The SF-424, Application for Federal Assistance; SF-424A, Budget Information – NonConstruction Program; and SF-424B, Assurances – Non-Construction Programs. The forms may be obtained at <http://www.grants.gov/web/grants/forms/sf-424-family.html>.

b) Required Certifications and Assurances:

In addition to the certifications that are included in the SF-424 family, the Applicant must provide the certifications, assurances and other statements described in this paragraph. A copy of Affirmation of Certification located at <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>, signed by the applicant's authorized representative, shall be part of the Application (Annex).

c) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later

versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The Applicant must ensure the budgeted costs address any additional requirements identified in Section E, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the Applicant and any potential sub-applicants for the entire period of the program.
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project, to the extent they are known at the time of application development. In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact.

The Detailed Budget must contain the following budget categories and information, at a minimum:

- 1) Salaries and Allowances – The Applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. The Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of The Applicants in accordance with its established written policies on personnel compensation. If the written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
- 2) Fringe Benefits – The Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
- 3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the

duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program 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 Applicants' budget, including those related to fringe and indirect costs, if applicable.

6) Other Direct Costs – This may include other costs not elsewhere specified which directly benefit the program proposed by the applicant. The Applicants should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.

8) Indirect Costs – The Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only

Eligibility: Any applicant

Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

Eligibility: Any applicant that has never received a NICRA

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

#### Method 4 - Indirect Costs Charged As a Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO.

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year.
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

USAID is under no obligation to approve the requested method.

9) Cost Sharing (if proposed): Estimate the amount of cost-sharing resources to be provided over the life of the grant and specify the sources of such resources, and the basis of calculation in the budget narrative. Also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting award.

d) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the Applicants would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, it must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

e) Approval of Subawards

The Applicants must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward, the Applicants must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list (<https://sanctionssearch.ofac.treas.gov/>)

- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM) ([www.sam.gov](http://www.sam.gov))
  - Confirmation that the subrecipient is not listed in the United Nations Security designation list (<https://www.un.org/securitycouncil/content/un-sc-consolidated-list>)
  - Confirmation that the subrecipient is not suspended or debarred
  - Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
  - Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.
- f) Dun and Bradstreet and SAM Requirements

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid DUNS number for the Applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient ([www.sam.gov](http://www.sam.gov)).
3. 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 many weeks to complete. Therefore, Applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

DUNS number: <http://fedgov.dnb.com/webform>

SAM registration: <http://www.sam.gov>

Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on [www.sam.gov](http://www.sam.gov), navigate to Help, then to International Registrants.

- g) History of Performance

The Applicants must provide information regarding its recent history of performance for

all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed past three years, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last three years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the Applicants encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The Applicants should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning the Applicants' history of performance from any sources and may consider such information in its review of the Applicants' risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

h) Branding Strategy & Marking Plan

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 landmark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section D of the RFA states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

(ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.

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

(iv) 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.

(v) 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 D of the RFA 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 announcement, 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 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)

#### 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 D of the RFA 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 constitution, 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)

i) Funding Restrictions

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction will not be authorized under this award.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

j) Conflict of Interest Pre-Award Term (August 2018)

a. Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

[END OF SECTION D: APPLICATION AND SUBMISSION INFORMATION]

## **SECTION E: APPLICATION REVIEW INFORMATION**

### **1. Criteria**

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in this section.

### **2. Review and Selection Process**

The SC will make a recommendation regarding which applicants should receive an award resulting from this NOFO. USAID will collaborate with the apparently successful applicants to create a final Program Description that will be included in the award.

Prior to negotiating an actual award, the Agreement Officer will review the apparently successful applicants budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. The costs proposed must be determined to be reasonable, based on the Cost Application and other information, before award can be made.

Award will be made to the responsible applicants whose application is determined to be the best based on the criteria specified in this APS. The Agreement Officer must also evaluate risk of the apparently successful applicants and is charged with the final determination of whether to make an award to the apparently successful applicants. Among other issues, the apparently successful applicants history of performance will be reviewed using the reference information contained in the Technical Application, along with any other information deemed relevant by the Agreement Officer or SC.

### **3. Merit Review**

Applications will be reviewed and evaluated in accordance with the criteria below. All criteria are equally important.

#### **A. Merit Review Criteria for Concept Papers**

- Pass/Fail: Geographic requirement – Must be located in the community for which you are doing the work.
- The extent to which the applicant already engages with their community and helps citizens;

- The extent to which the applicant has the trust and credibility of citizens within their community. For example, to what extent the entity is transparent, accountable, and responsive to the people they serve, including how it receives and responds to feedback from local people;
- Quality and reasonableness of planned approach to get ideas to improve the applicant's community and solve local problems, and reasonable expectation of sustainability.

#### B. Merit Review Criteria for Full Application

USAID will conduct a merit review of the final full application received by the apparently successful applicant(s). Application(s) will be reviewed and evaluated on the extent to which the Final Program Description matches the proposed approach as demonstrated in the concept notes. Technical applications will be reviewed and evaluated on:

- The extent to which proposed goal and plans are realistic and reasonable;
- How the organization's approach will create an environment that enables and increases community development.
- Extent to which the sustainability and growth plan of the organization is realistic and reasonable.

Additional instructions and criteria for full application submissions will occur after evaluation of concept papers, co-creation workshop (if necessary), and when full applications are requested from selected applicants.

#### **4. Business Review**

USAID will evaluate the cost 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. USAID will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.205). 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 200.207).

[END OF SECTION E: APPLICATION REVIEW INFORMATION]

## **SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION**

### **1. Federal Award Notices**

Following successful negotiations, USAID will send to successful applicants a signed notice of award. The notice, signed by the Agreement Officer, is the official authorizing document, which USAID will provide electronically to successful applicants' main point of contact authorized to confirm the acceptance of the award on behalf of their respective organizations.

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

### **2. Administrative and National Policy Requirements**

The applicable standard provisions for the prospective grants or cooperative agreements can be found at <http://inside.usaid.gov/ADS/300/303mab.pdf> . The final award document will include these provisions in full text. Applicants need to fully familiarize themselves with the content of the Standard Provisions during the preparation of the technical and cost application.

See Annex 1 for a list of the Standard Provisions that will be applicable to the hopeful awards resulting from this APS.

### **3. Reporting Requirements**

#### **A. FINANCIAL REPORTING**

(1) The Recipient is required to prepare and reconcile financial statements on a quarterly basis, in accordance with USAID's quarterly reporting schedule, for the duration of this program in order to establish the internal controls adequate to support financial reporting required under this Agreement. The Recipient shall submit the Federal Financial Standard Form SF-425 or SF-425A Federal Financial Report on a quarterly basis to the Agreement Officer's Representative, and one copy each to the Agreement Officer and the Payment Office within 30 days of the end of each calendar quarter, regardless the effective date of the Agreement. The form and instructions for using it are available on the Grants Management Forms page of the Office of Management and Budget website, at: [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms).



(2) The Recipient shall submit a Standard Form 1034 and SF 270 'Request for Advance or Reimbursement' on monthly bases for each upcoming month (30 day period) with the statement "Request for Advance" printed at the top of the form. Or respectively, the Recipient shall submit a Request for Reimbursement if for any reason it incurred expenditures but did not request or receive any advances yet, or if the Recipient received advances, but the expenditures exceeded the aggregate amount of advances previously received. In case of the latter, the Request for Reimbursement shall not exceed the amount of expenditures in excess of the aggregate amount of advances received.

(3) The Recipient is requested to liquidate the advance on monthly bases. Regardless of the effective date of the agreement, the recipient shall submit an SF-1034 (marked "Liquidation of Advances") and SF-425 or SF-425a Federal Financial Report to liquidate the advances of the previous month. The Recipient shall submit the Liquidation of Advances Reports to the Paying Office and to the Agreement Officer's Representative.

(4) Each financial form shall be identified by the appropriate award number.

(5) The original and two copies of all final financial reports shall be submitted to the Paying Office, the Agreement Officer and the Agreement Officer's Representative not later than 60 calendar days after the estimated completion date of this award.

## B. PROGRAM REPORTING

### 1. Annual Work Plan

The Recipient shall submit an Annual Work Plan of its activities within 30 days of the effective date of the Cooperative Agreement for review, comments/suggestions of the Agreement Officer's Representative (AOR). The Recipient shall then submit the revised Work Plan to the AOR for approval not later than 15 days from receipt of USAID's comments and/or suggestions. The Work Plan shall include a timeline and benchmark indicators for achieving the objectives of each component of the activity all major activities that will be undertaken, rationale behind these activities, anticipated results of these efforts and how they will be measured, activities implemented with financial contributions of other co-founders of the program and implementation plan for activities that support the key objectives of the program (training sessions, cross-border visits, etc.). A sub-section with details of collaboration with other USAID-funded programs and other donors shall also be included. The Recipient shall submit significant changes/revisions to the Work Plan to the AOR for his/her approval.

### 2. Activity Monitoring and Evaluation (M&E) Plan

The Recipient must submit a Monitoring and Evaluation (M&E) Plan to the AOR as an attachment to the first Annual Work Plan for the life of the Agreement. The

M&E Plan must include the following:

- (i) the results to be achieved by the program;
- (ii) qualitative and quantitative indicators to be used to measure achievement of the results;
- (iii) the method of data collection to be used to obtain the indicator data; and
- (iv) targets for each indicator by year.

The Recipient must consult with the AOR, Mission M&E Specialist, and Mission M&E Contractor in the development of the M&E Plan.

### 3. Web-based Geographic Information System (GIS)

The Recipient must submit the M&E Plan and Quarterly/Annual Reports with accompanying data on performance indicators to the AOR through USAID/BiH's web-based performance management/geographic information system.

For each quarter of Activity implementation the Recipient must also submit to the AOR, through the web-based performance management/geographic information system, data identifying the approximate distribution of Activity spending by main work types and key issues. Activity spending will be based on the best estimate of spending in the previous quarter. The main work types are Small Grants; Property, Plants, Equipment, and Technical Assistance.

Reported data on both performance indicators and Activity spending must be geographically distributed whenever possible. During the M&E plan preparation phase, it will be decided on which geographical level(s) each performance indicator will be reported. Reported data on Activity spending per main work type must be geographically distributed by location point for Small Grants, Property, Plants, and Equipment and by geographic level (State, Entity, Canton, and municipality/city) for Technical Assistance.

All data and deliverables submitted through the web-based performance management/geographic information system will be confirmed by Activity AORs.

### 4. Performance Reporting

#### i. Quarterly Program Performance Reports

The Recipient shall submit Quarterly Program Performance Reports to USAID during the duration of this Award. The reports shall be submitted in accordance with USAID's quarterly reporting schedule. The first report shall be due on an agreed-upon date between the AOR and the Recipient. The Recipient shall submit one copy of each Quarterly Program Performance Reports to the Agreement Officer (AO) and the Agreement Officer's Representative (AOR). The Quarterly Program Performance Report shall contain an executive summary of the accomplishments and results achieved; an overall description of the activities and accomplishments; a summary of problems/obstacles encountered; and any findings, comments and recommendations based on any lessons learned.

The quarterly reports shall be submitted within 30 days following the end of the reporting period, and an additional 15 days (for a total of 45 days) will be permitted for the combined quarterly/annual reports. The reports shall describe program accomplishments and the progress made during the reporting period, and include information on all activities, both ongoing and completed during the quarter. The quarterly reports should highlight any issues or problems that are affecting the delivery or timing of services provided by the Recipient. The reports shall also briefly present the following information:

- (i) Reasons why established goals were not met, if applicable.
- (ii) Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.

### iii. Final Report

The Recipient shall submit to the Agreement Officer's Representative (AOR) a draft Final Report within 30 days prior to the estimated completion date of the Cooperative Agreement. Once reviewed by the AOR, the Recipient shall submit one copy of the Final Report to the AOR and one copy to the Agreement Officer (electronically) within 90 days after the completion of the Cooperative Agreement. In addition, one copy shall be submitted to:

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

Mailing address:

Development Experience Clearinghouse (DEC)  
Bureau for Management/Office of Chief Information Officer/Knowledge  
Management Divisions (M/CIO/KM)  
Ronald Reagan Building (RRB) M.01  
U.S. Agency for International Development, 1300 Pennsylvania Avenue,  
N.W. Washington, D.C. 20523

Contact Information:

Telephone (202) 712-0579

E-mail: [docsubmit@usaid.gov](mailto:docsubmit@usaid.gov)

The Final Report shall contain the following information, covering the full period of the Award. This report should not include politically sensitive or proprietary information. Reports should incorporate as many graphics (maps, photos, charts, etc.) as possible and should include all program and evaluation tools and materials, as appendices.

The final performance report shall contain, at a minimum the following information:

- (i) An executive summary of the accomplishments and results achieved;
- (ii) An in-depth analysis of progress and results that synthesizes achievements of all organizations that contributed towards program objectives. This section should clearly describe activities, major accomplishments and results achieved, including results for all of the activities under the associate award;
- (ii) Final data, compared to baseline data, for all indicators included in the monitoring and evaluation plan for associate award activities. This section should include disaggregated data by gender, historically disenfranchised groups and other relevant groups identified.
- (iv) A summary of problems/obstacles encountered during the implementation, and how those obstacles were addressed and overcome if appropriate;
- (v) Lessons learned, best practices, and other findings from each of this associate award programs, along with recommendations for future programming under each of the program objectives;
- (vi) A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, and any other pertinent information.

#### iv. Success Stories/Events

USAID's support to Bosnia and Herzegovina is important and the impact of its programs should be recognized. The Recipient will provide success stories, when available, and keep USAID/BiH informed of events. The success stories/events should be written to reach a broad audience, both inside and outside of USAID/BiH, and should be provided in English. Photographs of events also are encouraged.

#### 4. Program Income

If it is expected that program income might be generated under this program, then program income earned under the resulting award shall be added to the program and used to further eligible program objectives as agreed upon by USAID. Applicants should describe how program income might be generated under the proposed activities and how it envisions program income being utilized to successfully accomplish program objectives. Program Income, if any, will be accounted for in accordance with the Standard Provision entitled Program Income for non-U.S. organizations.

## 5. Environmental Compliance

- a) 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. Applicants' environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this funding opportunity.
- b) 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.
- c) No activity funded under the resulting Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")
- d) 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 cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- e) 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.

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.

[END OF SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION]

**SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)**

Please send all inquiries and questions to [Sarajevoaaa@usaid.gov](mailto:Sarajevoaaa@usaid.gov) respecting submission deadlines provided on the cover page. For technical assistance related to Grants.gov, applicants may contact Helpdesk via email at [support@grants.gov](mailto:support@grants.gov) or by phone at 1-800-518-4726.

[END OF SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)]

## 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.

### Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the cover page with the following:

“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”

Additionally, the Applicant must mark each sheet of data it wishes to restrict with the following:

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

## ELECTRONIC PAYMENTS SYSTEM

### 1. Definitions:

- a. “Cash Payment System” means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.
- b. “Electronic Payment System” means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument, that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes

debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, subrecipients, or contractors.
3. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:
  - a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
  - b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
  - c. Cash payments to vendors below \$3000, when payment through an electronic payment system is not reasonably available.
  - d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.
4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at <http://solutionscenter.nethope.org/programs/c2e-toolkit>.

[END OF SECTION H: OTHER INFORMATION]



## ANNEX 1 - STANDARD PROVISIONS NON-US NGO

The full text of these provisions may be found at: <https://www.usaid.gov/ads/policy/300/303mab>. The award will include the entire suite of the latest Mandatory Provisions for non-U.S. Nongovernmental organizations. The award will also contain “required as applicable” Standard Provisions as provided below. The actual required as applicable Standard Provisions included in the award will be dependent on the organization that is selected.

### REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

- Advance Payment and Refunds NONUSNGO (DEC 2014)
- Reimbursement Payment and Refunds NONUSNGO (DEC 2014)
- Universal Identifier and System of Award Management NONUSNGO (JUL 2015)
- Reporting Subawards and Executive Compensation NONUSNGO (DEC 2014)
- Subawards NONUSNGO (DEC 2014)
- Travel and International Air Transportation NONUSNGO (DEC 2014)
- Reporting Host Government Taxes NONUSNGO (JUN 2012)
- Patent Rights NONUSNGO (JUN 2012)
- Exchange Visitors and Participant Training NONUSNGO (JUN 2012)
- Cost Share NONUSNGO (JUN 2012)
- Program Income NONUSNGO (DEC 2014)
- Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction NONUSNGO (SEP 2004)
- Limitation on Subawards to Non-Local Entities NONUSNGO (JUL 2014)
- Contract provision for DBA insurance under recipient procurements NONUSNGO (DEC 2014)
- Contract Award Term and Condition for Recipient Integrity and Performance Matters NONUSNGO (APR 2016)

[END OF ANNEX 1: STANDARD PROVISIONS FOR NON-US NGO]

## ANNEX 2- SUMMARY BUDGET TEMPLATE

Below summary budget template should be used for the concept stage. Applicants are not required to submit a detailed budget at the concept stage.

	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
Personnel						
Fringe Benefits						
Travel						
Equipment						
Supplies						
Contractual (list sub-awards and other contractual costs)						
Grants						
Other Direct Costs						
Indirect Costs						
TOTAL						

## **ATTACHMENT 1 – INITIAL ENVIRONMENTAL EXAMINATION**

See next pages (IEE contains 35 pages)



**US Agency for International Development (USAID)**  
**USAID Bosnia and Herzegovina**  
**Initial Environmental Examination (IEE)**

**Program/Project/Activity Data**

Activity/Project Name:	<b>Localworks Bosnia and Herzegovina</b>	
Assistance Objective:	<b>Increased Citizens Participation in Governance</b>	
Program Area:	<b>Human Rights, Good Governance</b>	
Country(ies) and/or Operating Unit:	<b>USAID/Bosnia and Herzegovina</b>	
Originating Office:	<b>USAID/Bosnia and Herzegovina</b>	Date: January 29, 2018
PAD Level IEE: Yes <input type="checkbox"/> No <input type="checkbox"/>	DCN of Original RCE/IEE:	
Supplemental IEE: Yes <input checked="" type="checkbox"/>	DCN of Amendment(s):	
No <input type="checkbox"/> RCE/IEE Amendment: Yes <input type="checkbox"/> No <input type="checkbox"/>		
If Yes, Purpose of Amendment (AMD):		
DCN(s) of All Related EA/IEE/RCE/ER(s):	<b>E3-15-5</b>	
Implementation Start/End:		LOP: 2016-2020
Funding Amount:		LOP Amount: \$12 million
Contract/Award Number (if known):		
<b>Recommended Environmental Determination:</b>		
Categorical Exclusion: <input checked="" type="checkbox"/>	Positive Determination: <input type="checkbox"/>	
Negative Determination: <input checked="" type="checkbox"/>	Deferral: <input type="checkbox"/>	
<b>Additional Elements:</b>		
Conditions: <input checked="" type="checkbox"/>	Local Procurement: <input checked="" type="checkbox"/>	
Government to Government: <input type="checkbox"/>	Donor Co-Funded: <input type="checkbox"/>	
Sustainability Analysis (included): <input type="checkbox"/>	Climate Change Vulnerability Analysis (included): <input type="checkbox"/>	

**1. Background and Project Description**

1.1. Purpose and Scope of IEE

The purpose of this IEE is to supplement the Programmatic IEE (PIEE) number E3-15-5, completed by the Bureau for Economic Growth, Education, and Environment (E3) and approved by E3 Bureau Environmental Officer on November 20, 2014. This Supplemental IEE (SIEE) provides information on country-specific activities that USAID/BiH plans to fund under the Small Grant Program/Localworks.

This supplemental IEE is addressing Localworks activities that will be implemented and funded in two phases. The first phase, totaling in the amount of \$200,000 will be awarded by the Mission to an experienced local civil

society organization to utilize innovative outreach mechanisms in order to sub-award around 15-20 small community initiatives grants in the average amount of up to \$10,000. For this initial funding, USAID Mission will task the implementing partner for developing and monitoring the Environmental Review Checklists and corresponding Environmental Mitigation and Monitoring Plans (EMMP). Since the Localworks program is open to all sources of small scale activities from different sectors, it is hard to predict the type, size /scale and values of individual activities. This initial funding will help the Localworks team to better understand the actual needs and interests of beneficiaries. The initial obligation of \$200,000 with corresponding individual ERC/EMMPs will help the Localworks Team to develop the programmatic environmental analysis and programmatic EMMPs.

These generally appropriate EMMPs will be developed for certain groups of activities, in order to optimize the work and costs associated with environmental assessments. Prior to any new activities at a specific site, the generally appropriate EMMPs shall be reviewed by the Implementing Partner (IP) for suitability, adequacy, and comprehensive inclusion of necessary environmental, health and safety safeguards, and if required, they will be accordingly updated. The revised EMMPs will require MEOs and BEOs prior approval. The IP will be sure to consider siting issues related to climate change, location of protected areas, and other limitations of possible activities in the EMMPs.

### 1.2. Activity Overview

Localworks is a USAID global initiative managed out of the Office of Local Sustainability in the E3 Bureau in Washington. It *seeks* to support local development by investing in the creativity and resourcefulness of local communities. Under the program, selected USAID Missions partner with Local Resource Organizations (LROs), which are organizations that can provide resources and services that other local organizations need to address community issues. LROs include but are not limited to non-governmental organizations, philanthropies, faith-based organizations, academic institutions, private companies, and professional associations. Instead of directly funding many different local organizations, localworks Missions work with a few capable LROs that command trust and respect among other local organizations. In turn, the local organizations supported by LROs empower and support communities to mobilize resources, work together, and implement their own solutions to local development challenges.

The intended result of *localworks* is that local organizations will come together to address the needs of their own communities so that the needs of local people drive development. Success under *localworks* includes: shifts in centers of influence from USAID Missions and international organizations to local organizations; increased mobilization of local resources to address local community priorities, including the expansion of domestic philanthropy; and stronger local-level organizations capable of serving as reliable actors in addressing community issues.

### 1.3. Activity Description

In 2016, USAID/BiH was selected to be a *localworks* Mission. As the first step, USAID/BiH *localworks* initiative includes two major work streams: a listening tour with stakeholders in local communities and a web-based network mapping platform. Through these efforts, the USAID/BiH *localworks* team will identify and map LROs and other influential organizations and actors in communities that are potential change agents for addressing local problems.

By late spring 2018, the web platform will be fully functional, giving the USAID/BiH *localworks* team a better understanding of existing LROs, influential community organizations and actors, and the relationships among these stakeholders. At that point, the USAID/BiH *localworks* team will seek to support some of the good ideas these local actors have for addressing issues in their communities. USAID/BiH Localworks will be implemented in the following steps/components:

#### 1.3.1. Component 1 – Administration and Oversight (\$1.8 million)

Administration and Oversight includes USAID Mission's staff program support and engagement in administration, management and oversight of Localworks program. This component is in the amount of 20% of total localworks budget.

- **Extensive listening tours** throughout the country will help the Mission to gain a sense of community needs, stakeholders that exist, current developments that are occurring outside of the donor realm, and ideas that communities have for how to improve and solve their own issues. USAID/BiH Mission's staff is committed to listening in a different manner and letting conversations with individuals and communities develop without preconceived ideas. Individuals and teams from multiple offices within the Mission will be engaged in this listening tour.
- **Monitoring of Localworks awards** -- this component also includes site visits, travel, and other activities necessary to monitor the progress of localworks assistance to LROs and community organizations in achieving the program's objectives.

### 1.3.2. Component 2 – Program Design and Learning (\$1.1 million)

- **Network Analysis** – This is an IT Platform developed to map and track shifting networks of local BiH development actors as part of the Mission's Localworks efforts. This will visualize the relationships among the local actors and help the Mission to identify and follow the development of local networks as part of Localworks implementation. A set of different analytic tools will be procured locally to elucidate the findings identified in Network Analysis, including groupings of networks in the country, those that are most relevant to communities, those that have organic constituencies, and are providing needed services. One such tool is a network analysis, looking at the relationships that already exist among civil society, individuals and communities throughout the country. This could be even more eye-opening in BiH, as it investigates the strength of relationships and connections not just at a more local level, but also in the different governing entities and on a nationwide scale. Given the small nature of the Balkans region, it would be interesting to also see the interconnectivity among communities and civil society throughout the former Yugoslavia and the existence/potential for regional networks.
- **System Analysis** - Useful tool that captures a more complete view of all the factors at play, the external effects of any intervention choices, and the accompanying feedback loops that provide information on those interventions. This could be undertaken at various levels, whether it is community, entity, national or even looking at the interplay with the region. The understanding derived from the system analysis tool ideally leads to programs that are adapted to political, social and economic realities. The findings would allow USAID to develop more flexible and interactive programming that works at multiple levels simultaneously.
- **Political Economy Analysis (PEA)** – analytical tool tied to specific sectors that provides information on why certain things/relations happen among local stakeholders. This can inform the design of USAID/Localworks interventions at any phase of the program cycle and at any level of effort.

### 1.3.3. Component 3 – Civil Society (\$9.1 million)

- **Piloting a small community grants program** to test assumptions and identify the best ways to engage local actors to strengthen and build upon the existing eco-system for community development. Prior to launching the Mission's main *localworks* efforts after the network mapping platform is developed, it would be beneficial for the Mission to have already tested the parameters it wants to use to support good local ideas. The *localworks* approach is new for the Mission, and the USAID/BiH *localworks* team is planning to use different funding models, application formats and selection criteria, and outreach methods to implement the program. By learning which approaches work and which do not, the Mission will be able to more quickly and effectively launch future *localworks* funding mechanisms that have a greater chance of success.

*Total amount of this first sub-component is \$200,000 and it will be the first portion awarded by the Mission to an experienced local civil society organization to utilize innovative outreach mechanisms in order to sub-award around 15 small community initiatives in the average amount of up to \$10,000. For this initial funding, USAID*

*Mission will task the implementing partner for developing and monitoring the Environmental Review Checklists (ERC) and corresponding Environmental Mitigation and Monitoring Plan (EMMP).*

*For the remaining Localworks funding (\$8.9 million) under this component USAID Mission will develop Programmatic Environmental Analysis that will cover all the activities. These include the following:*

- **Local Resource Organizations (LRO) partnerships** – USAID BiH plans to award around 15 LRO Grants during the life of this program (5-7 years). The main goal of these grants is to help LRO partners to act as resource hubs to other local organizations who address community needs. USAID BiH estimates that LROs will be identified as resource organizations through the network analysis platform by other local organizations.
- **Community Philanthropy promotion** – USAID will support existing local community foundations to expand and improve their local resource mobilization efforts, and further promote community philanthropy. Activities under this component do not envision any revitalization projects but cannot be excluded fully. USAID wants to keep option open for local community foundations to decide if these kinds of programs will be effective in expanding the resource base and philanthropy promotion.

The focus of this Component is on community development processes, through empowering and supporting communities to mobilize local resources work together and implement their own solutions to local development challenges it could include support to small community revitalization projects to address community self-identified needs. These projects will be used to improve civic engagement in community development, fix broken relationships between members of the community, and increase the level of community ownership through small non-constructional repairs and upgrades in community-selected projects.

## **2. Baseline Environmental Information**

### 2.1. Locations Affected and Environmental Context

Localworks program will be implemented throughout Bosnia and Herzegovina. Planned activities will be conducted in sites that are either public or private property. This means that all sites and locations will have all required permits, including environmental permits, where needed.

USAID Localworks program will assist interested formal or informal groups in local communities throughout BiH to become more engaged in identifying and solving community problems, increasing local ownership of community development. Assistance will be mainly used to fund local community meetings, developing strategic documents, but it could also include small community revitalization projects to address community self-identified needs. These projects will be used to improve civic engagement in community development, fix broken relationships between members of the community, and increase the level of community ownership through small non-constructional repairs and upgrades in community-selected projects. All identified locations for community revitalization projects will have to have all required permits prior to USAID funding.

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

BiH has a state or national level government, which is administratively subdivided into two entity governments: the FBiH and RS. The FBiH is further subdivided into 10 cantons. Municipal level is the lowest form of government. In addition to the entities, which are divided into municipalities, there is the Brcko District.

There are no institutions at the State level that are entirely dedicated to either environmental protection or agricultural development. In other words, there is no State level Ministry for the Environment or Agriculture. Neither is there Law on environment at the State level. As per the Constitution, Entity level governments regulate environmental issues through their laws, regulations and standards.

However, Ministry for Foreign Trade and Economic Relations (MoFTER) has been delegated to manage certain environmental and agricultural issues at the State level in the absence of dedicated State level Ministries as per the Law on Ministries and other bodies of administration of BiH (Official Gazette of BiH, No. 5/03) enacted in March 2003. MoFTER is responsible to define and coordinate activities between the Entity authorities and institutions at the international level, in the field of environmental protection, agriculture, energy and natural resources and administer enforcement of relevant laws and other regulations.

In order to improve and standardize environmental legislation, both entities drafted a set of 6 environmental laws that are largely in accordance with EU *acquis*:

- The Framework Law on Environmental Protection;
- The Law on Air Protection;
- The Law on Water Protection;
- The Law on Waste Management;
- The Law on Nature Protection, and
- The Law on the Fund for Environmental Protection.

These laws represent a framework for the legal protection of the environment, setting forth basic principles of the protection, defining basic notions and terms, as well as authorities responsible for policy implementation. They also lay down basic rules for drafting specific measures in the function of environmental protection policy implementation, as well as that of environment conservation and improvement.

### 2.3. Country/Ministry/Municipality Environmental Capacity Analysis

*FBiH:* Environmental management in the Federation BiH is uneconomical and unsustainable. The main reason for this serious lack of coordination, disorientation, and duplication between the different levels of administration responsible for environmental issues lies in the fact that institutionalized mechanisms and channels for exchange of information virtually do not exist. In addition to the relevant ministries involved in the environment and biodiversity, the Federation has quite an impressive number of specialist institutions that provide expert consulting, inspection and monitoring, and/or services that protect citizens, property and the environment/biodiversity from natural disasters. These institutes and agencies work under relevant ministries or report directly to the government. While the structure and number of institutions is rather impressive, the lack of inter-ministry coordination on all levels, as well as weak information exchange, are serious issues that impede and obstruct efficient environment/biodiversity management. Additionally, inadequate experience in environmental management of ministerial staff often results in serious gaps between the legal requirements and actual implementation.

The environmental protection legal framework in FBiH consists of five laws that were developed and adopted in 2003 at the entity level:

- Law on Environmental Protection;
- Law on Nature Protection;
- Law on Waste Management;
- Law on Air Protection; and
- Law on Environmental Protection Fund.

Adoption of these laws was a crucial step towards harmonizing BiH legislation with the EU. Although, FBiH adopted several of the sub-laws that harmonized many aspects of environmental protection with the EU legislation, the process of harmonization is far from finished. The process of harmonization must continue in order for FBiH to meet all EU directives related to regulating the environment. The main impediments to harmonization are the lack of a vision and the lack of a strategy for improving the efficiency of the harmonization processes.



Furthermore, harmonization of legislation is required within the legal structure in the entity and cantonal governments. The environmental laws adopted in 2003 were at the entity level, and some cantons have never adopted cantonal laws. In addition, some cantonal laws were adopted prior to the year 2003, so many provisions in these laws are inconsistent with the 2003 entity environmental laws.

RS: The institutional framework for environment in the RS is simpler than the one in FBiH. There are only two levels of administration in the RS: entity and local. Similarly to FBiH, there are public enterprises tasked with specific consulting, monitoring or other services related to the environment.

At the entity level, the Ministry for Spatial Planning, Construction, and Ecology is responsible for all issues related to the environment. This Ministry is responsible for drafting and adopting laws, implementing laws relevant to environmental protection, recommending areas to be protected, and monitoring and supervising work of local/municipal administrations. Within this ministry, there is a specialized department that handles environmental issues. Some responsibilities at the entity level related to the environment are also delegated to the Ministry of Agriculture, Forestry and Water Works; the Ministry of Education; and the Ministry of Trade and Tourism. The roles and responsibilities of each of these ministries have been defined by the Law on Ministries (2002). This same law provides for the role of the Public Institute for Protection of Cultural, Historical and Natural Heritage of Republika Srpska. This institution is tasked with all works related to protected areas, including updating the register of protected areas. They also provide expert and consulting services related to protection of the RS. In its work, the institute cooperates with other public institutions in the RS, such as faculties, museums, etc. In addition, and similarly to FBiH, there are public enterprises that manage natural parks. In the RS, there are two such institutions that are responsible for the national nature parks, Sutjeska and Kozara. Also, there is a public enterprise “Srpske Sume” that is responsible for overall management of all forests in the RS.

The most significant legislative reform related to the environment in the RS was the adoption of a set of entity laws on the environment. This set of five laws was drafted and adopted by both entities at the same time and are harmonized with EU legislation regulating the environment. Furthermore, and similarly to FBiH, there are other pieces of legislation that regulate certain aspects of the environment that were adopted in the RS. These include the following:

- Law on Forests (2003);
- Law on Hunting (2002);
- Law on National Parks (2005);
- Law on Waters (2006);
- Law on Agricultural Lands (2006);
- Law on Fishing (2002);
- Law on Communal Police (2003);
- Law on Fees for Utilizing Natural Resources for Energy Generation (2003); and
- Law on Environmental Fund (2002).

The RS is facing some of the same issues as FBiH, including the requirement for full harmonization of its legislation with EU regulations. As previously stated, in order to harmonize its legislation with the EU, the BiH government started revising existing laws in 2006. This project was financed by the EC with the ultimate goal of monitoring the level of harmonization with EU regulations.

#### 2.4. Sustainability Analysis

To address the sustainability issue in a broad context, and to protect the USG investment, USAID makes sure that its activities comply with all relevant recommendations prescribed in the EU accession documents for BiH. These reforms are required for EU accession, so their sustainability is guaranteed by the strict EU conditionality, and driven by the country’s strong commitment and keenness to join the EU.

To ensure sustainability in a context of long-term development, USAID verifies that all of its activities are in line with the guiding principles for sustainable development described in the renewed EU Strategy for Sustainable Development (EU SDS), adopted by the European Council in June 2005. The Strategy promotes the idea and sets the conditions for sustainable economic development that ensures better quality of life through economic growth that is conscious of, and responsive to the environment and natural resources.

*Activities funded under the Localworks BiH will strengthen the capacity and increase the engagement in local development of local key actors, such as citizens, local decision makers, and local businesses, thus supporting sustainable improvements in decision making process.*

*All implementing mechanisms awarded through localworks will have designated environmental officers who will be responsible for maintenance and monitoring that initiatives funded are in compliance with requirements from Programmatic Environmental Review Checklist (PERC).*

## 2.5. Climate Change Vulnerability Analysis

BiH's climate varies with its topography, Mediterranean climate in the Adriatic coast and lowland Herzegovina, moderate continental climate in the plains and hills in the center of the country and an alpine climate in the mountains. Since 1990, the most frequent natural hazards in BiH have been floods, extreme temperatures, droughts and storms. BiH's climate has experienced significant changes in the last 50 years: Since 1961, average annual air temperatures have increased 0.4°C - 0.8°C, with seasonal variations. The highest increases in temperatures were recorded during the summer months (June - August). Long term (50+ years) changes in rainfall trends are minimal though some data suggest decreases in rainfall during spring and summer and increased rainfall during winter, accompanied by decreased snowpack, which can significantly affect water availability during the spring and summer months. Limited knowledge exists on climate changes specific to BiH, but data for Europe's Mediterranean region suggest that the seasonal increases in temperature will average 1°C by 2030, with the highest increases occurring in the summer but also pronounced in the fall. It is also anticipated that temperature increases will be more pronounced in the inland areas. A marked increase in high temperature extremes and meteorological droughts across Europe will likely also affect BiH.

The impact of activities funded by Localworks will be minimal but USAID Mission plans to embed the climate resilience measures that will be beneficial to the climate, and will strengthen the resilience of the local communities to the potential impacts of climate change such as droughts, floods, etc.

Some of the issues associated with Climate Change Vulnerability in Localworks are associated with following trends:

- May be difficult to engage citizens to volunteer in civilian protection climate-related hazards leading to emergencies/disasters when citizens are focusing on meeting basic needs and safety of their families;
  - Possibility that people are unaware of potential hazards in their communities related to climate change
  - Possibility that Localworks funding would be realigned to meet climate-related disaster response needs
- Some of the opportunities for the Mission and the activity to intervene and address the issues associated with the Climate Change are:

- Integrate Climate change (CC) adaptation language into all sub-awards under Localworks
- Include climate change language in all solicitations, raising awareness, considering CC impacts in proposals and applications
- Leverage trends with regards to CC issues

## **Analysis of Potential Environmental Impact**

### 2.5. Component 1: Component 1 – Administration and Oversight

Defined/Illustrative Activities	Potential Impacts	Potential Climate Risk	Climate Risk Rating	Opportunities for Climate Resiliency
1.1 Listening tours	N/A	LOW	NONE	N/A

### 2.6. Component 2: Program Design and Learning

Defined/Illustrative Activities	Potential Impacts	Potential Climate Risk	Climate Risk Rating	Opportunities for Climate Resiliency
2.1 Network Analysis	N/A	LOW	NONE	N/A
2.2 System Analysis	N/A	LOW	NONE	N/A
2.3 Political Economy Analysis (PEA)	N/A	LOW	NONE	N/A

### 2.7. Component 3: Civil Society

Defined/Illustrative Activities	Potential Impacts	Potential Climate Risk	Climate Risk Rating	Opportunities for Climate Resiliency
3.1 and 3.4 Piloting a small community grants	Air, water, waste, soil, human health	LOW	LOW	The implementer must incorporate numerous EU and local directives and environmental regulations pertaining to climate change, water, air quality, waste management, nature protection, industrial pollution control, and trans border water management.
3.2 and 3.5 Local Resource Organizations grants	Air, water, waste, soil, human health	LOW	LOW	The implementer must incorporate numerous EU treaties, directives, and environmental regulations pertaining to climate change, water, air quality, waste

				management, nature protection, industrial pollution control, and trans border water management.
3.3 and 3.6 Community Philanthropy promotion	Air, water, waste, soil, human health	LOW	LOW	The implementer must incorporate numerous EU treaties, directives, and environmental regulations pertaining to climate change, water, air quality, waste management, nature protection, industrial pollution control, and trans border water management.

### 3. Recommended Environmental Actions

#### 3.1. Recommended Mitigation Measures

#### Component 3 – Civil Society – First Round of Grants (\$200,000)

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
3.1 Piloting a small community grants	Air, soil, water, waste, human health	Prior to initiating activities that have the potential to result in significant adverse environmental, health, and safety impact, the IP shall prepare an ERC/EMMP(s) in the format provided in the Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve	Negative Determination with Conditions

		the ERC/EMMP(s) prior to implementation	
3.2 Local Resource Organizations grants	Air, soil, water, waste, human health	Prior to initiating activities that have the potential to result in significant adverse environmental, health, and safety impact, the IP shall prepare an ERC/EMMP(s) in the format provided in the Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the ERC/EMMP(s) prior to implementation	Negative Determination with Conditions
3.3 Community Philanthropy promotion	Air, soil, water, waste, human health	Prior to initiating activities that have the potential to result in significant adverse environmental, health, and safety impact, the IP shall prepare an ERC/EMMP(s) in the format provided in the Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the ERC/EMMP(s) prior to implementation	Negative Determination with Conditions

### Component 3 – Civil Society – Second Round of Grants (\$8.9M)

Defined/Illustrative Activities	Potential Impacts	Mitigation Measures	Recommended Threshold Determination
3.4 Piloting a small community grants	Air, soil, water, waste, human health	Based on input and the ERC/EMMPs from the projects in Round 1 – EMMPs will be	Negative Determination with Conditions

	health	developed by sector using the EMMP in the format provided in Section H of Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the EMMP(s) prior to implementation. If there are new sectors not explored in Round 1, the IP will use the ERC/EMMP in Annex 1.	
3.5 Local Resource Organizations grants	Air, soil, water, waste, human health	Based on input and the ERC/EMMPs from the projects in Round 1 – EMMPs will be developed by sector using the EMMP in the format provided in Section H of Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the EMMP(s) prior to implementation. If there are new sectors not explored in Round 1, the IP will use the ERC/EMMP in Annex 1.	Negative Determination with Conditions
3.6 Community Philanthropy promotion	Air, soil, water, waste, human health	Based on input and the ERC/EMMPs from the projects in Round 1 – EMMPs will be developed by sector using the EMMP in the format provided in Section H of Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the	Negative Determination with Conditions

		<p>EMMP(s) prior to implementation. If there are new sectors not explored in Round 1, the IP will use the ERC/EMMP in Annex 1.</p>	
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3.2. Recommended Environmental Determination:

***Categorical Exclusions:***

A categorical exclusion is recommended for the following activities under 22 CFR 216.2 (c)(2): Activity 1.1- Listening tours under Component 1, Activity 2.1 - Network Analysis, Activity 2.2 - System Analysis, Activity 2.3 - Political Economy Analysis (PEA) §216.2(c)(2)(iii) Analyses, studies, academic or research workshops and meetings, and §216.2(c)(2)(I) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment

***Negative Determination with Conditions:***

Under §216.3(a)(2)(iii), a negative determination with conditions is recommended for activities under Component 3 (activities 3.1, 3.2, 3.3, 3.4, 3.5, and 3.6) if it includes support to community revitalization projects. Specific terms and conditions are presented below in Section 3.3.

3.3. Terms and Conditions:

3.3.1 Prior to funding activities 3.1, 3.2, and 3.3 to be implemented under the first phase of the Component 3 (Small Community grants), USAID/BiH Localworks IPs will perform initial evaluation of possible environmental impact of Localworks activities. This will be done by Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (ERC) and the corresponding Environmental Mitigation and Monitoring Plan (EMMP). ERCs will address activities that have the potential to result in significant adverse environmental, health, and safety impact, the IP shall prepare an ERC/EMMP(s) in the format provided in the Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the ERC/EMMP(s) prior to implementation. For each site-specific activity, the ERC/EMMP shall be attached to the signed *Certification of No Adverse or Significant Effects on the Environment* (See ERC/EMMP Annex 1). This should be signed by the IP, COR/AOR, MEO, and BEO. The IP is certifying that requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section H. After the IP has finalized its activities at a specific site, the IP shall sign a *Record of Compliance* with the ERC/EMMP (see ERC/EMMP Annex 2) certifying that the organization met all applicable ERC/EMMP conditions and submit it to the COR/AOR. The COR/AOR shall keep the original for the project files and provide a copy to the MEO and BEO. The Record of Compliance certifies that all the mitigation measures that the IP confirmed would occur during project implementation did indeed occur.

3.3.2 Prior to funding activities 3.4, 3.5, and 3.6 in Round 2 of Component 3 Small community grants and based on input and the ERC/EMMPs from the projects in Round 1 –EMMPs will be developed by sector using the EMMP in the format provided in Section H of Annex 1 of this IEE. The COR/AOR, MEO, and BEO shall approve the EMMP(s) prior to implementation. If there are new sectors not explored in Round 1, the IP will use the ERC/EMMP in Annex 1. The COR/AOR, MEO, and BEO shall approve the EMMP or ERC/EMMP(s)

prior to implementation. For each site-specific activity, the EMMP or ERC/EMMP shall be attached to the signed *Certification of No Adverse or Significant Effects on the Environment* (See ERC/EMMP Annex 1). This should be signed by the IP, COR/AOR, MEO, and BEO. The IP is certifying that requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section H. After the IP has finalized its activities at a specific site, the IP shall sign a *Record of Compliance* with the EMMP or ERC/EMMP (see ERC/EMMP Annex 2) certifying that the organization met all applicable ERC/EMMP conditions and submit it to the COR/AOR. The COR/AOR shall keep the original for the project files and provide a copy to the MEO and BEO. The Record of Compliance certifies that all the mitigation measures that the IP confirmed would occur during project implementation did indeed occur.

3.3.3 Furthermore, in order to ensure that every USAID-funded Localworks activities (3.1 – 3.6) are implemented in an environmentally sustainable manner, USAID will incorporate mitigation and monitoring measures as well as the best EU sectorial and climate vulnerability practices in the implementation plans.

Implementing partner(s) will be responsible to comply with EMMP and utilize ERC for any project that includes community revitalization action. This will include prescriptive measures the implementer will be required to undertake to ensure outcomes of project activities are implemented in an environmentally sustainable manner.

3.3.4. ERC/EMMPs shall be captured in annual work plans, and therefore budgeted for and reviewed for adequacy at least annually.

3.3.5. Changes in activities and their associated ERC/EMMPs shall necessitate amending the IEE or issuing a Memo to the File (depending on extent and potential impact of the changes).

#### 3.4. USAID Monitoring and Reporting

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

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

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

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

#### 3.5. Implementing Partner (IP) Monitoring and reporting

3.5.1. If an individual activity is found to pose significant adverse environmental effects that have not been identified and addressed in the attached EMMP(s), or EMMPs that were subsequently approved for the project, new EMMPs shall be developed to include environmental safeguards for such effects.

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



#### 4. Mandatory Inclusion of Requirements in Solicitations, Awards, Budgets and Work plans

- 4.1. Appropriate environmental compliance language, including limitations defined in Section 6, shall be incorporated into solicitations and awards for this activity and projects budgets shall provide for adequate funding and human resources to comply with requirements of this IEE.
- 4.2. Solicitations shall include Statements of Work with task(s) for meeting environmental compliance requirements and appropriate evaluation criteria.
- 4.3. Environmental mitigation and monitoring requirements, when available, shall also be included in solicitations and awards.
- 4.4. The IP shall incorporate conditions set forth in this IEE into their annual work plans.
- 4.5. The IP shall ensure annual work plans do not prescribe activities that are defined as limitations, as defined in Section 6.
- 4.6. The USAID Mission will include an indicator for environmental compliance as part of the project's performance monitoring plan. [If an IEE has a threshold determination of negative determination with conditions, then a possible indicator is if the IP did the ERC/EMMP.]

#### 5. Limitations of the IEE:

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

- 5.1. Normally have a significant effect on the environment under §216.2(d)(1) [See [http://www.usaid.gov/our\\_work/environment/compliance/regulations.html](http://www.usaid.gov/our_work/environment/compliance/regulations.html)]
- 5.2. Support project preparation, project feasibility studies, engineering design for activities listed in §216.2(d)(1);
- 5.3. Affect endangered species;
- 5.4. Result in wetland or biodiversity degradation or loss;
- 5.5. Support extractive industries (e.g. mining and quarrying);
- 5.6. Promote timber harvesting;
- 5.7. Provide support for regulatory permitting;
- 5.8. Result in privatization of industrial or infrastructure facilities;
- 5.9. Lead to new construction of buildings or other structures;
- 5.10. Assist the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, cleanup of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials and /or pesticides (cover all insecticides, fungicides, rodenticides, etc. covered under the Federal Insecticide, Fungicide, and Rodenticide Act); and
- 5.11. Procure or use genetically modified organisms.

#### 6. Revisions

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



**USAID**  
FROM THE AMERICAN PEOPLE

DCN: 2018-BOS-004

Annex 1

**ENVIRONMENTAL REVIEW CHECKLIST  
(ERC) for Identifying Potential Environmental  
Impacts of Project Activities and Processes/  
ENVIRONMENTAL MITIGATION AND  
MONITORING PLAN  
(EMMP)  
ERC/EMMP**

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**for [Activity Name]**

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Implemented under: [*Project Name*]

DCN: [*of Parent IEE*]

Prepared by: [*Implementer*]



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

The Environmental Review Checklist for Identifying Potential Environmental Impacts of Project Activities and Processes (ERC) and Environmental Mitigation and Monitoring Plan (EMMP) is intended for use by implementing partners to: assess activity-specific baseline conditions, including applicable environmental requirements; identify potential adverse environmental effects associated with planned activity(s) and processes; and develop EMMPs that can effectively avoid or adequately minimize the identified effects. This ERC/EMMP may be substituted for other ERC/EMMP versions that may have been attached to previous initial environmental examinations (IEE). If implementing partners are in doubt about whether a planned activity requires preparation of an ERC, they should contact their Contracting Officer's Representative (COR)/Agreement Officer's Representative (AOR) for clarification. In turn, the COR/AOR should contact their Mission Environmental Officer (MEO) if they have any questions. In special circumstances and with approval of the BEO it is possible to have one very comprehensive ERC/EMMP for multiple projects if they are similar in scope. *(When preparing the ERC/EMMP, please indicate "not applicable" for items that have no bearing on the activity. The ERC/EMMP should be completed by an environmental specialist. **The ERC/EMMP must be completed and approved prior to the activity beginning.**)*

### A. Activity and Site Information

<b>Project Name: (as stated in the triggering IEE)</b>	
<b>Mission/Country:</b>	
<b>DCN of Most Recent Triggering IEE or Amendment:</b>	
<b>Activity/Site Name:</b>	
<b>Type of Activity:</b>	
<b>Name of Reviewer and Summary of Professional Qualifications:</b>	
<b>Date of Review:</b>	

### B. Activity Description

1. Activity purpose and need
2. Amount of activity
3. Location of activity
4. Beneficiaries, e.g., size of community, number of school children, etc.
5. Number of employees and annual revenue, if this is a business
6. Implementation timeframe and schedule

7. Detailed description of activity, items that will be purchased (*This section should fully describe what funds are being used for.*)
8. Detailed description of site, e.g., size of the facility or hectares of land; steps that will be taken to accomplish the activity;
9. Existing or planned certifications, e.g., ISO 14001 EMS, ISO 9000, HCCP, SA 8000, Global Gap, Environmental Product Declarations, Eco Flower, EcoLogo, Cradle to Cradle, UL Environment, GREENGUARD, Fair Trade, Green Seal, LEED, or various Forest Certifications
10. Site map, e.g., provide an image from Google Earth of the location
11. Photos of site, items to be purchased, engineering construction plans (*when available*)

**C. Activity-Specific Baseline Environmental Conditions**

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

**D. Legal, Regulatory, and Permitting Requirements**

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

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

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

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

1. Will the activity be required to adhere to formal engineering designs/plans? Have these been or will they be developed by a qualified engineer? If yes, attach the plans to the ERC/EMMP.
2. Do designs/plans effectively and comprehensively address:
  - a. Management of storm water runoff and its effects?
  - b. Reuse, recycling, and disposal of construction debris and by-products?
  - c. Energy efficiency and/or preference for renewable energy sources?
  - d. Pollution prevention and cleaner production measures?
  - e. Maximum reliance on green building or green land-use approaches?
  - f. Emergency response planning?
  - g. Mitigation or avoidance of occupational safety and health hazards?
  - h. Environmental management of mobilization and de-mobilization?
  - i. Capacity of the host country recipient organization to sustain the environmental management aspects of the activity after closure and handover?
3. Are there known geological hazards, e.g., faults, landslides, or unstable soil structure, which could affect the activity? If so, how will the project ensure structural integrity?
4. Will the site require grading, trenching, or excavation? Will the activity generate borrow pits? If so, how will these be managed during implementation and closure?
5. Will the activity cause interference with the current drainage systems or conditions? Will it increase the risk of flooding?
6. Will the activity interfere with above- or below-ground utility transmission lines, e.g., communications, water, sewer, or natural gas?
7. Will the activity potentially interfere with vehicle or pedestrian traffic?
8. Does the activity increase the risk of fire, explosion, or hazardous chemical releases?
9. Does the activity require disposal or retrofitting of polychlorinated biphenyl-containing equipment, e.g., transformers or florescent light ballasts?

**F. Environment, Health, and Safety Consequences**

1. **Potential impacts to public health and well-being**
  - a. Will the activity require temporary or permanent property land taking?
  - b. Will activities require temporary or permanent human resettlement?

- c. Will area residents and/or workers be exposed to pesticides, fertilizer, or other toxic substances, e.g., as a result of farming or manufacturing? If yes, then there should be an approved, current PERSUAP on file and discuss how it will be used in this situation. If so, how will the project:
    - i. Ensure that these chemicals do not contaminate ground or surface water?
    - ii. Ensure that workers use protective clothing and equipment to prevent exposure?
    - iii. Control releases of these substances to air, water, and land?
    - iv. Restrict access to the site to reduce the potential for human exposure?
  - d. Will the activity generate pesticide, chemical, or industrial wastes? Could these wastes potentially contaminate soil, groundwater or surface water?
  - e. Will chemical containers be stored at the site?
  - f. Does the activity remove asbestos-containing materials or use of building materials that may contain asbestos, formaldehyde, or other toxic materials? Can the project certify that building materials are non-toxic? If so, how will these wastes be disposed of?
  - g. Will the activity generate other solid or hazardous wastes such as construction debris, dry or wet cell batteries, florescent tubes, aerosol cans, paint, solvents, etc.? If so, how will this waste be disposed of?
  - h. Will the activity generate nontoxic, nonhazardous solid wastes (subsequently requiring land resources for disposal)?
  - i. Will the activity pose the need to handle and dispose of medical wastes? If so, describe measures of ensuring occupational and public health and safety, both onsite and offsite.
  - j. Does the activity provide a new source of drinking water for a community? If so, how will the project monitor water quality in accordance with health standards?
  - k. Will the activity potentially disturb soil contaminated with toxic or hazardous materials?
  - l. Will activities, e.g., construction, refurbishment, demolition, or blasting, result in increased noise or light pollution, which could adversely affect the natural or human environment?
- 2. Atmospheric and air quality impacts**
- a. Will the activity result in increased emission of air pollutants from a vent or as fugitive releases, e.g., soot, sulfur dioxide, oxides of nitrogen, volatile organic compounds, methane.
  - b. Will the activity involve burning of wood or biomass?
  - c. Will the activity install, operate, maintain, or decommission systems containing ozone depleting substances, e.g., freon or other refrigerants?
  - d. Will the activity generate an increase in carbon emissions?
  - e. Will the activity increase odor and/or noise?
- 3. Water quality changes and impacts**
- a. *How far is the site located from the nearest river, stream, or lake?(Non-yes/no question)*

- b. Will the activity disturb wetland, lacustrine, or riparian areas?
- c. *What is the depth to groundwater at the site? (Non-yes/no question)*
- d. *Will the activity result in increased ground or surface water extraction? If so, what are the volumes? Permit requirements? (Non-yes/no question)*
- e. Will the activity discharge domestic or industrial sewage to surface, ground water, or publicly-owned treatment facility?
- f. Does the activity result in increased volumes of storm water run-off and/or is there potential for discharges of potentially contaminated (including suspended solids) storm water?
- g. Will the activity result in the runoff of pesticides, fertilizers, or toxic chemicals into surface water or groundwater?
- h. Will the activity result in discharge of livestock wastes such as manure or blood into surface water?
- i. Does the site require excavation, placing of fill, or substrate removal (e.g., gravel) from a river, stream or lake?

**4. Land use changes and impacts**

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

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

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

**6. Historic or cultural resources**

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

**G. Further Analysis of Recommended Actions** *(Most activities will have a threshold determinations of negative determination with conditions..)*

- 1. Categorical Exclusion:** The activity is not likely to have an effect on the natural or physical



environment. No further environmental review is required.\* (This is rarely used in the ERC/EMMP.)

**□2. Negative Determination with Conditions:** The activity does not have potentially significant adverse environmental, health, or safety effects, but may contribute to minor impacts that can be eliminated or adequately minimized by appropriate mitigation measures. ERC/EMMPs shall be developed, approved by the Mission Environmental Officer (MEO) and the BEO **prior to beginning the activity**, incorporated into workplans, and then implemented. For activities related to the procurement, use, or training related to pesticides, a PERSUAP will be prepared for BEO approval, PERSUAPS are considered amendments to the IEE and usually Negative Determination with Conditions. See Sections H and I below.\*

**□3. Positive Determination:** The activity has potentially significant adverse environmental effects and requires further analysis of alternatives, solicitation of stakeholder input, and incorporation of environmental considerations into activity design. A Scoping Statement (SS) must be prepared and be submitted to the BEO for approval. Following BEO approval of the SS an Environmental Assessment (EA) will be conducted. The activity may not be implemented until the BEO clears the final EA. If the Parent IEE does not have Positive Determination as one of the threshold determinations, the IEE needs to be amended.

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

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

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

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

	<b>Identified Environmental Impacts</b>	<b>Do the Impacts Require Further Consideration?</b>	<b>Mitigation Measures</b>	<b>Monitoring Indicators</b>
<i>List all the processes that comprise the activity(s) (e.g.</i>	<i>A single process may have several potential impacts— provide a separate line</i>	<i>For each impact, indicate <b>Yes</b> or <b>No</b>; if <b>No</b>, provide justification, e.g.,: (1) There are no applicable legal requirements</i>	<i>For each impact requiring further consideration, describe the mitigation measures that will avoid or</i>	<i>Specify indicators to (1) determine if mitigation is in place and (2) successful.</i>

<i>asbestos roof removal, installation of toilets, remove and replace flooring) A line should be included for each process.</i>	<i>for each.</i>	<i>including permits or reporting and (2) There is no relevant community concern and (3) Pollution prevention is not feasible or practical and (4) Does not pose a risk because of low severity, frequency, or duration</i>	<i>adequately minimize the impact. (If mitigation measures are well-specified in the IEE, quote directly from IEE.)</i>	<i>For example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)</i>

**2. Activity-specific monitoring plan**

<b>Monitoring Indicators</b>	<b>Monitoring and Reporting Frequency</b>	<b>Responsible Parties</b>	<b>Records Generated</b>
<i>Specify indicators to (1) determine if mitigation is in place and (2) successful (for example, visual inspections for seepage around pit latrine; sedimentation at stream crossings, etc.)(Taken from column 5 of the environmental mitigation plan above.)</i>	<i>For example: “Monitor weekly, and report in quarterly reports. If XXX occurs, immediately inform USAID COR/AOR.”</i>	<i>Separate parties responsible for mitigation from those responsible for reporting, whenever appropriate,</i>	<i>If appropriate, describe types of records generated by the mitigation, monitoring, and reporting process.</i>



ERC/EMMP ANNEX 1

Certification of No Adverse or Significant Effects on the Environment

I, the undersigned, certify that activity-specific baseline conditions and applicable environmental requirements have been properly assessed; environment, health, and safety impacts requiring further consideration have been comprehensively identified; and that adverse impacts will be effectively avoided or sufficiently minimized by proper implementation of the EMMP(s) in Section H. If new impacts requiring further consideration are identified or new mitigation measures are needed, I will be responsible for notifying the USAID COR/AOR, as soon as practicable. Upon completion of activities, I will submit a **Record of Compliance with Activity-Specific EMMPs** using the format provided in ERC Annex 2.

\_\_\_\_\_  
Implementer Project Director/COP Name

\_\_\_\_\_  
Date

**Approvals:**

\_\_\_\_\_  
USAID COR/AOR Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Mission Environmental Officer Name

\_\_\_\_\_  
Date

**Concurrence:**

\_\_\_\_\_

\_\_\_\_\_  
Date

Mark Kamiya, Bureau Environmental Officer

**Distribution:**

- Project Files
- IEE Files

**ERC/EMMP ANNEX 2  
RECORD OF COMPLIANCE WITH ACTIVITY-SPECIFIC  
ENVIRONMENTAL MITIGATION AND MONITORING PLANS (EMMPs)**

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

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

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

Sincerely,

\_\_\_\_\_  
Implementer Project Director/COP Name

\_\_\_\_\_  
Date

**Approved:**

\_\_\_\_\_  
USAID/COR/AOR/Activity Manager Name

\_\_\_\_\_  
Date

**Distribution:**

- Project Files
- MEO
- Bureau Environmental Officer

**BiH CDCS Climate Risk Management Annex: Part I**

<b>DO or IR</b>	<b>Summary of Potential Climate Impacts</b>	<b>Risk to DO, IR, or supporting sectors (Refer to Screening Output for Details)</b>	<b>Integration into strategy</b> <i>How does the strategy address the risks? Include page number. Note if a DO, IR, or sub-IR specifically addresses the risks.</i>	<b>Next steps</b> <i>Is monitoring and/or further analysis of risks needed to inform project planning, design, and implementation? What needs to be done at the PAD and/or mechanism levels to address the risks?</i>	<b>Accepted risks</b> <i>What climate risks does the Mission accept? Why?</i>
<p><i>IR 1.1: Justice sector reformed in line with EU accession principles</i></p>	<ul style="list-style-type: none"> <li>• May be difficult to increase public confidence in the rule of law when citizens are focusing on meeting basic needs in times of climate-related hazards leading to emergencies/disasters</li> <li>• Case backlog will increase during times of climate-related hazards that lead to emergencies/disasters, this IR would be realigned to meet climate-related disaster response needs</li> </ul>	<p>Potential impact on Mission activities: low/low</p> <p>Adaptive Capacity: Institutional capacity is low; financial resources are not readily available; complex administrative structure; low levels of climate change awareness but high motivation; ongoing conflicts across political party lines</p> <p>Timeframe: 10-15 years</p> <p>Mission Opportunities:                      -National Satisfaction survey questions related to climate change to establish baseline                      -Climate change (CC) adaptation integrated into PPPs/GDAs                      -include climate change language in RFAs/RFPs on raising awareness, considering CC impacts in proposals and applications                      -leverage trends with regards to CC issues</p>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring this IR for potential future climate risk throughout the Program Cycle, as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• No further analysis is needed</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low for current and future timeframes</li> </ul>
<p><i>IR 1.2: More effective, accountable and representative governance at all levels</i></p>	<ul style="list-style-type: none"> <li>• Climate change-related impacts could lead to lower quality or interrupted public service delivery, resulting in greater dissatisfaction with the government.</li> <li>• Ineffective government planning for climate-related hazards could lead</li> </ul>	<p>Potential impact on Mission activities: low/low</p> <p>Adaptive Capacity: Institutional capacity is low; financial resources are not readily available; complex administrative structure; low levels of climate change awareness but high motivation; ongoing conflicts across political party lines</p>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring this IR for potential future climate risk throughout the Program Cycle, as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• No further analysis is needed</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low for current and future timeframes</li> </ul>



<p><i>IR 1.3: Increased engagement of citizens in governance</i></p>	<ul style="list-style-type: none"> <li>to increased dissatisfaction with government             <ul style="list-style-type: none"> <li>• Polls show that 64% of the population would depart BiH immediately if an opportunity existed to do so; a poorly-functioning social welfare system in a country with ~46% official unemployment rate could lead to “brain drain” and migration at the first opportunity; climate impacts would exacerbate this migration</li> <li>• Possibility that funds for this IR would be realigned to meet climate-related disaster response needs</li> </ul> </li> <li>• Citizens will be less engaged in governance if trying to afford/meet basic needs for food, water, shelter, and heating/cooling. Hydropower may decrease in future due to higher temps/regularly occurring droughts thereby increasing electricity costs. Droughts may result in lower crop production, leading to a reduction in food supply and higher prices.</li> <li>• Possibility that funds for this IR would be realigned to meet climate-related disaster response needs</li> </ul>	<p><b>Timeframe: 10-15 years</b></p> <p><b>Mission Opportunities:</b></p> <ul style="list-style-type: none"> <li>-National Satisfaction survey questions related to climate change to establish baseline</li> <li>-provide CC information to all levels of government to raise awareness</li> <li>-help to establish CC adaptation networks</li> <li>-CC adaptation integrated into PPFs/GDAs</li> <li>-discuss with donor community (in particular, DRR planning)</li> <li>-include climate change language in RFAs/RFPs on raising awareness, considering CC impacts in proposals and applications</li> <li>-consider how to re-engage with the Green Party (although opportunities for training/assistance need to be provided equitably to all political parties)</li> <li>-leverage trends with regards to CC issues</li> </ul> <p><b>Potential impact on Mission activities:</b></p> <p>low/low</p> <p><b>Adaptive Capacity:</b> Institutional capacity is low; financial resources are not readily available; complex administrative structure; low levels of climate change awareness but high motivation; ongoing conflicts across political party lines</p> <p><b>Timeframe: 10-15 years</b></p> <p><b>Mission Opportunities:</b></p> <ul style="list-style-type: none"> <li>-work with Civil Society on public policies relating to the environment and climate change</li> <li>-opportunities for professional media to consider reporting on CC issues including BiH government national adaptation plan and Low Emission Development Strategy</li> <li>-National Satisfaction survey questions related to climate change to establish baseline</li> <li>-provide CC information to CSOs for potential advocacy opportunities; send via e-mail lists</li> <li>-help to establish CC adaptation networks</li> <li>-CC integrated into PPFs/GDAs</li> <li>-discuss with donor community (in</li> </ul>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring this IR for potential future climate risk throughout the Program Cycle, as appropriate.</li> <li>• No further analysis is needed</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low for the current timeframe and potentially low to moderate for the future timeframes</li> </ul>
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<p><i>IR 2.1: Improved capacity of private sector to compete in market economy</i></p>	<ul style="list-style-type: none"> <li>• Winter tourism is starting to suffer due to warm winters</li> <li>• Shorter reservations in the mountain resorts whereas before they used to stay 1 week+</li> <li>• Increase in temps is a big risk; biodiversity will be affected</li> <li>• Wood processing industry- weather patterns changing; outbreaks of bark beetles</li> <li>• Water shortages and water quality are worsened during periods of drought</li> <li>• Human health impacted due to water shortages; hygiene impacts; nutrition effects; impacts to health infrastructure</li> <li>• Landmines being uncovered by farmers during landslides and flooding; 15% of forests have landmines from the war</li> </ul>	<p>particular, DRR planning) -include climate change language in RFAs/RFPs on raising awareness, considering CC impacts in proposals and applications -consider how to engage environment and climate-change advocacy and research organizations -leverage trends with regards to CC issues</p> <p>Potential impact on Mission activities: low/low-moderate</p> <p>Adaptive Capacity:</p> <ul style="list-style-type: none"> <li>- Information: every other year information report is sent to the UN; government does have capacity to collect the information</li> <li>- Financial: funding is marginalized; there are other priorities; environment and climate change are something they've been pushed into</li> <li>-Human Capacity: responsibility at higher level of the govt (Ministry of Security-Agency for Civil Protection)</li> <li>-Social and Institutional Capacity: budgets are low for institutions; not well-trained staffers particularly at the lower level of the government; questionable how much time they invest in the capacity of the staffers; equipment is lacking</li> </ul> <p>Timeframe: 5-15 years</p> <p>Mission Opportunities:</p> <ul style="list-style-type: none"> <li>-Promote summer tourism (e.g., rafting programs); cultural tourism; ecotourism-protected areas and national parks</li> <li>-Increased tourism from the Middle East as warming increases</li> <li>-Agriculture: diversify to crops that require less water and drought-tolerant varieties; facilitate irrigation systems</li> <li>-Growth in PPPs in energy, tourism</li> <li>-New suppliers and distributors in the energy sector</li> <li>-Workforce: new industries could pop up</li> <li>- Stakeholder consultations with those that can bring money or resources to the table</li> </ul>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring this IR for potential future climate risk throughout the Program Cycle, as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• No further analysis is needed</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low for current timeframe and potentially low to moderate for future timeframes. Mission will conduct additional analysis as needed if monitoring indicates risks are increasing.</li> </ul>
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<p><i>IR 2.2: Regulations and policies foster private sector development and investment</i></p>	<ul style="list-style-type: none"> <li>• Energy- moderate risk (now and in future)</li> <li>• Operational costs will be increased which could decrease workforce</li> <li>• Decreased income to utility companies</li> <li>• Increasing temperatures will lead to increase in cooling (which requires more energy, increases costs)</li> </ul>	<p>Potential impact on Mission activities: low-moderate/moderate</p> <p>Adaptive Capacity:</p> <ul style="list-style-type: none"> <li>- Information: every other year information report is sent to the UN; government does have capacity to collect the information</li> <li>- Financial: funding is marginalized; there are other priorities; environment and climate change are something they've been pushed into</li> <li>-Human Capacity: responsibility at higher level of the govt (Ministry of Security-Agency for Civil Protection)</li> <li>-Social and Institutional Capacity: budgets are low for institutions; not well-trained staffs particularly at the lower level of the government; questionable how much time they invest in the capacity of the staffs; equipment is lacking</li> </ul> <p>Timeframe: 10-15 years</p> <p>Mission Opportunities:</p> <ul style="list-style-type: none"> <li>-Promote RE, investment in solar, biomass, wind resources</li> <li>- Promote water management policies to benefit ag, tourism, energy (country is rich in water)</li> <li>-Promote transnational cooperation due to shared climate impacts (water, energy, disease vectors)</li> <li>-Leverage solicitations, RFAs/RFPs for adaptation/mitigation</li> <li>- Develop procedures to ensure that the energy supply is not interrupted; these should be updated as needed; helps protect businesses</li> <li>- Speak more with partners about climate change effects in their activities</li> </ul>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring this IR for potential future climate risk throughout the Program Cycle, as appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• No further analysis is needed at this time. Mission will include relevant climate change impacts and opportunities in new PAD and activity-level documents, as well as CC impact language in related RFAs/RFPs to ensure that new activities are sensitive to these potential impacts and actively seeking to adapt to/mitigate those impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low-moderate for current timeframe and potentially moderate for future timeframes. Mission will conduct additional analysis as needed if monitoring indicates risks are increasing.</li> </ul>
<ul style="list-style-type: none"> <li>• It may be difficult to make progress in the areas of inter-ethnic reconciliation, women's</li> </ul>	<p>Potential impact on Mission activities: low/low-moderate</p>	<ul style="list-style-type: none"> <li>• The Mission will consider monitoring these cross-cutting issues for</li> </ul>	<ul style="list-style-type: none"> <li>• No further analysis is needed; mission will include relevant climate</li> </ul>	<ul style="list-style-type: none"> <li>• Risks to achieving results are low for current timeframe</li> </ul>	

<p><i>empowerment; youth; anticorruption; CVE</i></p>	<p>women's empowerment, youth empowerment and development, anticorruption and Countering Violent Extremism when people are struggling to meet basic needs of food, shelter, water and heating/cooling. Hydropower may decrease in future due to higher temps/regularly occurring droughts thereby increasing electricity costs. Droughts will also result in lower crop production, leading to a reduction in food supply and higher prices.</p> <ul style="list-style-type: none"> <li>• Possibility that funds for related cross-cutting activities would be realigned to meet climate-related disaster response needs</li> </ul>	<p>Adaptive Capacity: Institutional capacity is low; financial resources are not readily available; complex administrative structure; low levels of climate change awareness but high motivation; ongoing conflicts across political party lines</p> <p>Timeframe: 10-15 years</p> <p>Mission Opportunities:</p> <ul style="list-style-type: none"> <li>-consider advocacy for an inter-ethnic disaster response team to facilitate inter-ethnic reconciliation</li> <li>-National Satisfaction survey questions related to climate change to establish baseline</li> <li>-provide CC information to CSOs for potential advocacy opportunities; send via e-mail lists</li> <li>-help to establish CC adaptation networks with various groups</li> <li>-CC integrated into PPPs/GDAs</li> <li>-discuss with donor community (in particular, DRR planning)</li> <li>-include climate change language in RFAs/RFPs on raising awareness, considering CC impacts in proposals and applications</li> <li>-leverage trends with regards to CC issues</li> </ul>	<p>potential future climate risk throughout the Program Cycle, as appropriate. A potential opportunity is during the mid-term strategy review.</p>	<p>change impacts and opportunities in PAD and activity-level documents, as well as CC impact language in related RFAs/RFPs to ensure that new activities are sensitive to these potential impacts and actively seeking to mitigate those impacts.</p>	<p>and low to moderate for the future timeframe. The mission accepts the low to moderate risk for the future timeframe as they do not have any IRs specifically focusing on these cross-cutting issues.</p>
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## BiH Climate Risk Management CDCS Annex Part II: Greenhouse Gas Mitigation

<p>What are the major sources of GHG emissions (e.g., personal cars, power plants, landfills, industry, agriculture sector, deforestation, etc.)? How has the distribution and composition of the GHG emissions profile changed over time historically and how is the profile expected to change in the future considering the major emitting sectors and/or sources? How are the sectors and sources that contribute to GHG emissions contributing to the growth and development of the economy and to meeting development objectives? What climate change mitigation or low emissions development plans, targets, commitments, and priorities has the government (national, state and local) articulated?</p>	<p>BiH's GHG emissions are dominated by emissions from energy. Within the sector, production of electricity and heat comprises 66% of energy emissions, transportation 14%, manufacturing and construction and other fuel combustion subsectors each account for 7%, and fugitive emissions 6%.</p> <p>Primary energy supply in 2012 consisted of coal (66%), oil (23%), hydro (5%), natural gas (3%), and biofuels/waste (3%). The majority of power generation is from coal, with a substantial amount from hydro, and small contributions from gas and oil.</p> <p>The lack of a clear trend in GHG emissions in BiH precludes the ability to confidently assess whether the country is becoming more or less carbon intensive. According to the Biennial Update Report, post-war economic recovery has been much slower than anticipated, with the 2012 share of GDP by sector as follows: 6% agriculture, forestry, and fishery; 22% industry and construction; and 56% services.</p> <p>In future, BiH plans to reduce its projected growth in emissions by 2%, i.e., reduce the projected GHG increase from 20% to 18% relative to 1990 emissions by 2030. With international support, the country will reduce its projected emissions by 3% compared to 1990 levels.</p> <p>BiH has a Climate Change Adaptation and Low Emission Development Strategy (developed with EU framework in mind), available at: <a href="http://www.ba.undp.org/content/bosnia_and_herzegovina/en/home/library/environment_energy/climate-change-adaptation-and-low-emission-development-strategy-.html">http://www.ba.undp.org/content/bosnia_and_herzegovina/en/home/library/environment_energy/climate-change-adaptation-and-low-emission-development-strategy-.html</a></p>
<p>Which of these sectors is USAID planning to program in? What opportunities exist to reduce emissions in those sectors? What opportunities exist to reduce emissions associated with USAID activities?</p>	<p>The Economic Growth DO will promote renewable energy sources through its REAP activity, which closely aligns with BiH's Low Emission Development plan for a "green economy." In addition, this DO will also promote sustainable agricultural practices in targeted regions by considering flood and drought-resistant crop varieties.</p>
<p>Does the strategy incorporate ways to reduce GHG? Reference the page number in the strategy. Note in particular if a Goal, the DO, or an IR</p>	<p><i>(Mission to fill in once strategy is drafted)</i></p>

or sub-IR specifically incorporates mitigation.	
What are the next steps at the PAD and/or mechanism levels to reduce greenhouse gases?	<i>(Mission to fill in once strategy is drafted)</i>