



**OFFICE OF ACQUISITION & ASSISTANCE**

Issue Date: June 26, 2018  
 Program Statement Closing Date: June 25, 2019  
 Concept Paper Submission Closing Dates:  
     First Round: October 24, 2018  
     Second Round: February 26, 2019  
     Third Round: June 25, 2019  
 Catalog of Federal Domestic Assistance: 98.001  
 Subject: Annual Program Statement # **72060518APS00001**  
 Program Title: USAID/DRC funded Environment Partnerships Program (DRC EPP)

Dear Applicants:

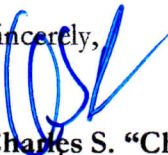
The United States Agency for International Development in DRC (USAID/DRC) is seeking concept papers from qualified organizations for the **USAID/DRC funded Environment Partnerships Program (DRC EPP)**.

Through this funding opportunity USAID/DRC announces its desire to engage in new--or to expand existing-- public and private sector partnerships for DRC in priority areas defined by the Government of DRC (GDRC) and the United States Government (USG). The *DRC EPP* supports testing, adoption and scaling of creative or innovative solutions to meet development challenges in seven key areas. The largest of these is protected area management, where USAID/DRC focuses on establishment and professionalizing partnership arrangements between the GDRC and private sector entities. Addressing bushmeat consumption, charcoal use, wildlife poaching and trafficking, community forestry concessions, shifting agriculture and tourism are also areas of emphasis. USAID/DRC is interested in providing financial or non-financial support to partners to realize concepts and ideas that hold promise in the focus areas.

USAID/DRC is using a funding opportunity called an "Annual Program Statement" to request Concept Papers as the first step in a 3-step process that may result in USAID sponsorship of your concept. The Annual Program Statement is attached to this letter. Interested organizations should read the Annual Program Statement and follow the instructions for submitting a Concept Paper.

USAID/DRC is available to respond to questions from Applicants about the process. Questions should be submitted by email to: [rlayng@usaid.gov](mailto:rlayng@usaid.gov) in USAID/DRC/CARPE (Central African Regional Program for the Environment) and [ykambo@usaid.gov](mailto:ykambo@usaid.gov) in USAID/DRC/OAA with copy to [KinshasaProposals@usaid.gov](mailto:KinshasaProposals@usaid.gov).

We sincerely hope that your organization will consider submitting a Concept Paper to partner with USAID/DRC. Thank you for your interest in the **DRC Environment Partnerships Program**.

Sincerely,  


**Charles S. "Chuck" Pope**  
Supervisory Agreement Officer

# **DRC ENVIRONMENT PARTNERSHIPS PROGRAM (DRC EPP)**

## **PROGRAM STATEMENT**

Program Statement Number: **72060518APS00001**

Issuance Date: June 26, 2018

Closing Date: June 25, 2019

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## **SECTION I: PROGRAM DESCRIPTION**

### **A. BACKGROUND**

The Central Africa Regional Program for the Environment (CARPE) has been U.S. Government's flagship biodiversity and climate change program in Central Africa for over 20 years and through CARPE, USAID has promoted natural resource conservation, low emissions economic development, and poverty alleviation across the region. This program has improved the sustainable management of tens of millions of hectares of fragile and highly sensitive tropical forest across eight Central African countries. CARPE has trained thousands of individuals from national governments, local and international NGOs and communities in a variety of conservation methods and techniques, and assisted national and local civil society organizations to work hand-in-hand with local communities, governments and the international community to promote forest management and biodiversity conservation.

However the challenges facing both biodiversity conservation and the protection of forests are significant and continue to evolve. Threats to biodiversity such as the bushmeat market often have their roots outside national parks and protected areas and result from resource use patterns established in cities, towns and villages many miles away from the impact. Similarly, the greatest contributor to the loss of forests are often unrelated to professional forest management practices but rather are a response to poverty and hunger which drives the expansion of subsistence agriculture and the demand for charcoal in villages, towns and cities. Systemic threats such as these will need to be addressed at sufficient scale in order to expect improved management and results in protected areas and forests. In the case of both bushmeat and charcoal, well-functioning markets have contributed to the growth of these threats beyond a scale that can be addressed as part of protected area management. Market forces must be harnessed and private sector models are needed to address these threats at a meaningful scale and will need to be considered in the context of both local and pervasive conflict and gender dynamics.

Globally and in Central Africa, the availability of private resources for development far surpasses the level of official development assistance. USAID/DRC and its regional CARPE Program are committed to strategic partnerships to leverage these private resources, increase the impact of conservation and climate change work and make these efforts sustainable and beneficial for local communities. Partnerships enable USAID/DRC to leverage private sector assets, innovation, markets and expertise, as well as public sector resources and platforms. USAID/DRC will facilitate, catalyze and support such partnerships through its *DRC Environment Partnership Program (DRC EPP)* in areas where USAID and partners share Development Objectives for CARPE, such as professional park management, wildlife trafficking, bushmeat alternatives, charcoal alternatives, shifting agriculture, tourism and community forestry management.

USAID recognizes that new strategies are required to successfully meet major global development challenges in biodiversity conservation and forest protection. To be successful, interventions must be cost-effective, effectual, sustainable, measurable and provide meaningful

incentives and benefits to local communities. USAID emphasizes building partnerships that allow USAID/DRC to collaborate with the public and private sectors in joint definition of development challenges, and united identification of the most promising, impactful solutions and mutual contribution of resources.

## **B. PURPOSE**

The purposes of the *DRC EPP* are to identify and partner with organizations and institutions who bring innovative ideas and resources of *at least* a 1:1 leverage to address jointly defined development challenges. Matching resources may include money, technologies, experience, expertise or other assets that Applicants can demonstrate as beneficial to tackling and resolving a development challenge.

- **What is a DRC Partnership?**

A DRC Partnership is a public-private sector collaboration focused on overcoming critical development challenges through innovations and creative ideas that can be rigorously tested, shared, and potentially scaled in DRC and shared with other countries in the region. The goal of the collaboration is to tackle development challenges using an approach that can be replicated and sustained, leading to measurable improvements in development outcomes. Innovations are defined not by their novelty, but by their potential to achieve significant development outcomes compared to *existing alternatives*. Under this program, USAID/DRC is open to considering a wide range of partnership approaches, whether locally financed and implemented or otherwise, in order to achieve its development objectives. It is understood that all partners will share risks and responsibilities.

Partnership awards under this program may be structured in a variety of different ways as discussed in Section III of the Annual Program Statement.

- **In what areas is USAID/DRC seeking to partner?**

Partnerships developed under this program are expected to contribute to achieving one or more of USAID's core Development Objectives for the CARPE Program. USAID's CARPE focuses on maintaining the ecological integrity of the humid forest ecosystem of the Congo Basin and contributing to the goal of accelerating Central Africa's transition to climate-resilient, low-emissions development through sustainable management of biodiverse forests. The DRC EPP will support this by pursuing partnerships in seven key areas. The largest of these is protected area management, where USAID/DRC focuses on establishment and professionalizing partnership arrangements between the GDRC and the private sector entity. Addressing bushmeat consumption, charcoal use, wildlife poaching and trafficking, community forestry concessions, shifting agriculture and tourism are also areas of emphasis. The most appealing partnerships will deliver both development outcomes in the technical areas listed above and also benefits for local communities.

Activities that result from this Annual program statement will be funded with biodiversity earmarked funds, sustainable landscape funds or a combination of the two. Activities funded with biodiversity funds must comply with the [USAID Biodiversity Code](#). USAID requires that

each activity using these type of funds develop an explicit Theory of Change (TOC) and test and refine this theory through monitoring, evaluation and learning. A detailed explanation of USAID/DRC's Development Objectives for the CARPE Program may be found at <https://www.usaid.gov/central-africa-regional/cdcs>. USAID/DRC's priority areas for potential partnerships are explained in Section I.C. and in more detail in Appendix B of the Annual Program Statement. Prospective partners should carefully review these development objectives and priorities in order to better determine how their interests and USAID/DRC's CARPE Development Objectives intersect.

- **What are the basic requirements of a partnership?**

Partnerships are expected to bring significant new, non-USG resources, whether money, ideas, technologies, experience, or expertise, to address Central Africa's development problems. In addition to aligning with USAID/DRC's CARPE Development Objectives, partnerships must meet the minimum overall values described in Section I.C. and Appendix B of the Annual Program Statement. For example, most program areas require the application to be for a minimum award amount of \$2 million in total. This means Applicants are offering resources of at least \$1 million in cash and/or in-kind (expertise, assets, technology, money, etc.) of non-USG resources to the proposed partnership.

Accordingly, an ideal partnership will:

- Align clearly with at least one of USAID/DRC's CARPE Development Objectives;
- Define a measurable development impact;
- Meet the minimum award amount that matches funding levels provided in Section C, *Funding Priorities*;
- Include a minimum leverage of 1:1 contribution of private and/or public, non-USG resources;
- Have an implementation plan that will achieve the program objectives within 60 months period; and
- Have potential to be replicated or scaled-up.

- **Why partner with USAID/DRC?**

There are many reasons for organizations to consider partnering with USAID/DRC.

**Corporate Social Responsibility.**

Some sectors such as mining and forestry in the DRC require investors to comply with Corporate Social Responsibility (CSR) provisions as part of their corporate obligations. The *DRC EPP* offers organizations an opportunity to partner with USAID in defining and implementing projects with measurable development impact in keeping with CSR goals.

**Development Expertise.**

In addition to funding, USAID/DRC brings nearly 60-years of development experience in the DRC to the partnerships. It has contributed to defining and advancing conservation goals across the entire country. USAID/DRC can readily access highly regarded technical experts in

all fields of development and has influence to convene high-level stakeholders needed to facilitate success.

### **USAID’s Expertise in Tracking Capacity Development.**

USAID selects Implementing Partners through a competitive, merit-based process and critically examines the technical and managerial capacity of an organization prior to sponsorship. Throughout implementation, USAID/DRC works with its Implementing Partners to develop and apply strong monitoring and evaluation methods. These methods aim to ensure data and information gathered is high-quality allowing for meaningful measurement of progress toward development impact. USAID/DRC’s experience and expertise supports risk mitigation, objective tracking of results and promotion of success, making USAID/DRC a valuable partner.

### **Shared Values.**

Partnering with USAID/DRC to invest in development makes good business sense. USAID/DRC wholly embraces a shared value approach that recognizes tremendous opportunities for innovation and growth in tackling social and other development problems. As articulated in the Harvard Business Review by Michael Porter and Mark Kramer: *“Businesses must reconnect company success with social progress. Shared value is ... a new way to achieve economic success. It is not on the margin of what companies do but at the center.”* This powerful idea helps explain why USAID/DRC wants to collaborate with companies to create development solutions based on such a business model.

## **C. FUNDING PRIORITIES/GOALS/PROGRAMMATIC FOCUS AREAS**

Under Phase I of this Annual Program Statement, USAID/DRC is requesting Concept Papers in areas of strategic interest to USAID/DRC. These are listed below and described in more detail in Appendix B. USAID/DRC reserves the right to fund environmental partnerships outside of these areas as well, however chances of funding for areas outside of those listed below may be severely limited.

Concept Paper budgets should meet the minimum award amount parameters, unless exceptional circumstances are presented. A program budget of \$2 million means, for example, that an Implementing Partner’s concept may request up to \$1 million in USAID funding and bring a resource “leverage” of the same amount at a minimum. Each strategic area listed below is explained in more detail, including partnership objectives, in Appendix B.

1. Management of 2 DRC protected areas: Attract private financing & management
2. Community forestry concessions
3. Tourism expansion
4. Developing alternatives to wild-caught bushmeat
5. Displace charcoal use in urban and peri-urban areas
6. Countering wildlife poaching and trafficking
7. Alternatives to shifting agriculture

**D. GEOGRAPHIC FOCUS**

The DRC EPP will pursue partnerships that align USAID’s work on biodiversity and climate change with the commercial interests of the private sector in priority geographic areas. Partnerships will either contribute to the direct management of priority natural resources such as national parks and protected/community forests or address persistent threats to the sustainability of these areas, such as shifting agriculture or trade in bushmeat, charcoal, wildlife products. Partnerships proposals that involve strengthening management of protected areas will be pursued for Salonga Park and Okapi Reserve and other partnerships opportunities will be prioritized geographically to build upon past landscape investments of CARPE when possible.

Partnership proposals will also be pursued outside of landscapes historically supported under USAID’s CARPE. Specifically, partnerships that aim to address community forestry concessions (CFC) will take place where CFCs exist and there is a role for the private sector. Addressing persistent threats such as charcoal, wildlife trafficking and bushmeat will take place where markets for these products exist and there is a private sector role in reducing these markets. Partnerships addressing shifting agriculture will take place where there is both high deforestation rates and high carbon density. All partnerships aim to demonstrate new, market-based approaches to solve existing problems and wherever possible apply these solutions at sufficiently large scale to have a meaningful impact on the problem.

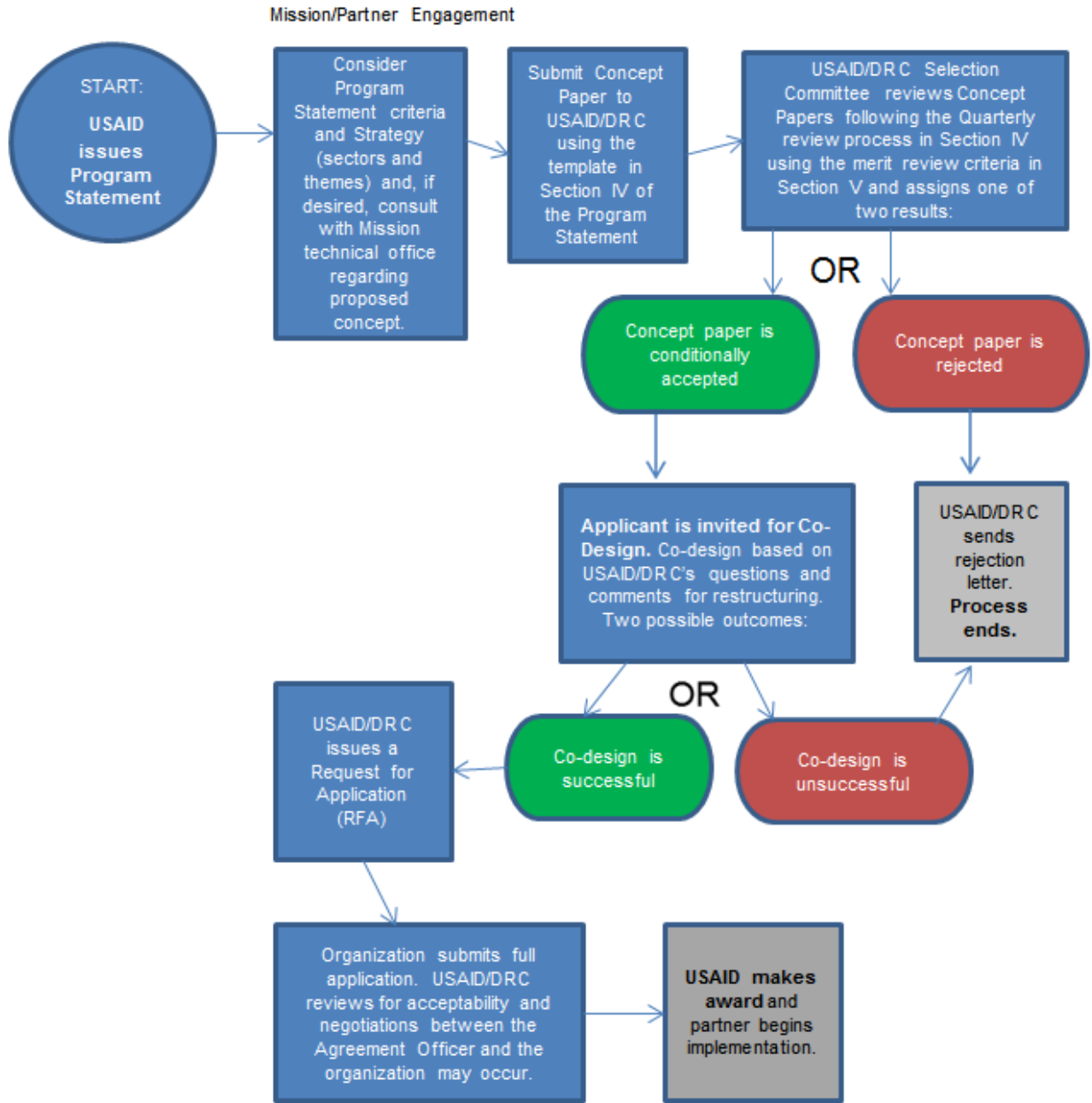
**E. SCALING OF EXISTING PARTNERSHIPS**

In addition to the technical areas above, USAID/DRC seeks to build on partnerships with existing partners to scale and expand interventions that are successful. USAID/DRC has funded numerous partnerships over the last several years. Through this *DRC EPP* Annual Program Statement, USAID/DRC is specifically inviting existing partners who have had success with their interventions, to submit a Concept Paper under the process described herein, identifying ways in which the intervention could be expanded or brought to scale.

**F. WHAT IS THE PROCESS?**

USAID/DRC has outlined the process in this Annual Program Statement, specifically in Section IV. The diagram in Figure 1 below is a summary:





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## **SECTION II: FEDERAL AWARD INFORMATION**

The purpose of this Annual Program Statement is to announce the competitive process and solicit Concept Paper applications from the private and public sectors for engaging with USAID/DRC under the *DRC EPP*.

This program is authorized in accordance with the Foreign Assistance Act (FAA) of 1961, as amended. Issuance of this Annual Program Statement does not constitute an award commitment on the part of the USG, nor does it commit the USG to pay for any costs incurred in preparation or submission of questions, comments, suggestions or an application. Applicants submit Concept Paper applications at their own risk and all preparation and submission costs are at the Applicant's expense.

### **A. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED**

Subject to funding availability, USAID/DRC intends to make multiple awards up to a total of \$100,000,000 (\$50,000,000 USAID funding and \$50,000,000 leverage by partners).

Proposed applications should meet minimum application amounts by program area in Appendix B. For example, most program areas require the application to be for a minimum award amount of \$2 million in total. This means Applicants are offering resources of at least \$1 million as leverage.

USAID/DRC reserves the right to fund any one, or none of the applications submitted or to fund applications that fall below the stated dollar threshold.

### **B. START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS**

Applications must offer a period of performance. The initial period of performance must be 60 months or less. USAID/DRC anticipates making first awards 6 months after the effective date of this Annual Program Statement.

**[END OF SECTION II]**

## **SECTION III: ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

USAID/DRC is targeting both potential **Resource Partners** and **Implementing Partners** for the *DRC EPP*.

- **Resource Partners** are US and non-US private sector businesses, foundations, financial institutions, entrepreneurs, investors, philanthropists and others who can identify and suggest ways to use their financial or other resources to collaborate with USAID/DRC. Resource Partners can also be public sector (e.g., other bilateral or multilateral donors).
  
- **Implementing Partners** are US and non-US non-governmental, private sector entities (for-profit or non-profit) that can engage and work with Resource Partners. Implementing Partners may provide the 1:1 leveraging themselves, or they must secure private sector funding for the projects they are proposing to implement.

To be eligible, all Implementing Partners must be legally registered entities under applicable law and eligible under the relevant laws to receive funding from a foreign source. Individuals are not eligible to be Implementing Partners, although they may be Resource Partners.

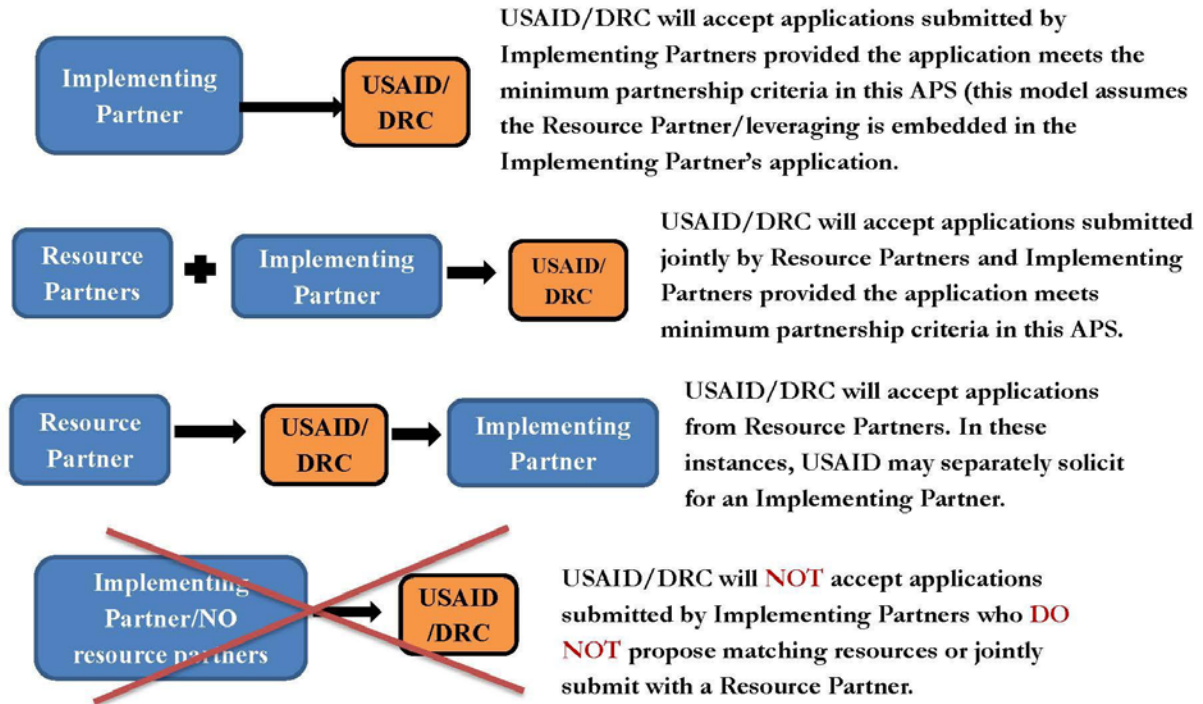
USAID/DRC encourages applications from organizations that have not previously received financial assistance from USAID.

Applicants must comply with applicable local laws, including taxation. USAID/DRC advises prospective Applicants to consult local counsel on these issues in the Concept Paper phase.

This Annual Program Statement is open to worldwide competition and USAID/DRC is particularly interested in working with non-traditional development partners such as private businesses, business and trade associations, foundations, and financial institutions, in addition to traditional non-profit NGOs and for-profit development firms.

Applications must follow all instructions in this Annual Program Statement and should address the Merit Review criteria in Section VII. Since USAID/DRC is soliciting for both Resource and Implementing Partners, the ways in which the “partnership” is structured may vary. The following graphic depicts several types of Applicant submissions USAID/DRC is accepting under this Annual Program Statement.

It is also possible that in some cases, USAID/DRC and a Resource Partner may agree to separately fund activities coordinated to achieve a particular goal; in such cases the arrangement would be memorialized via a Memorandum of Understanding (MOU). In other cases, some Resource Partners may wish to provide funding directly to USAID/DRC in order to implement a particular activity.



**leveraging**  
 USAID defines leveraging as “significant resource mobilization. In the case of public-private alliances, USAID seeks the mobilization of resources of other actors on a 1:1 or greater basis. Resources may include funds, in-kind contributions, and intellectual property.”

**B. LEVERAGING**

USAID/DRC based its *DRC EPP* on USAID’s Global Development Alliance (GDA) model. GDAs are USAID’s premiere model for public-private partnerships (PPPs), helping to improve social and economic conditions in developing countries and deepening USAID’s development impact.

USAID develops GDAs where the relationship between business interests and development objectives provides a promising opportunity for:

- the private sector to leverage USAID’s objectives, assets and expertise to address key business challenges and opportunities; and
- USAID to leverage private sector interests, assets, expertise and markets in a manner that fosters or accelerates sustainable and transformational development impact.

In the case of *DRC EPP*, USAID/DRC includes GDRC entities as eligible resource partners.

USAID/DRC has established a *minimum* of 1:1 leveraging requirement for applications submitted under this Annual Program Statement. This means for each dollar of USAID funding requested, the partner should provide an equal amount of assets, money, expertise, markets, etc.

**[END OF SECTION III]**

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## SECTION IV: APPLICATION AND SUBMISSION INFORMATION

### A. AGENCY POINT OF CONTACT

**Charles S. “Chuck” Pope**

Supervisory Agreement Officer  
USAID/DRC Office of Acquisition and Assistance  
Mobil Building, 198 Avenue Isiro  
Gombe–Kinshasa, Democratic Republic of the Congo  
Email: [cpope@usaid.gov](mailto:cpope@usaid.gov)

Questions and Answers: All questions regarding this APS should be submitted in writing to Robert Layng, CARPE Office Director, [rlayng@usaid.gov](mailto:rlayng@usaid.gov), the Acquisition and Assistance Specialist Valery Kambo at [vkambo@usaid.gov](mailto:vkambo@usaid.gov) and copying [KinshasaProposals@usaid.gov](mailto:KinshasaProposals@usaid.gov) .

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.

Concept Paper submissions must be submitted to the e-mail address point of contact specified above.

### B. APPLICATION PROCESS

USAID/DRC will follow a three phase process:

#### **PHASE 1: CONCEPT PAPER SUBMISSION.**

A Concept Paper is a short (5-7 pages) document where the Applicant provides an overview of their idea. USAID/DRC has provided a template in Paragraph C below.

Applicants may submit a Concept Paper at any time. USAID/DRC will acknowledge Concept Papers upon receipt; however, USAID/DRC will meet to review Concept Papers against merit review criteria, and make Concept Paper selection decisions as follows:

All Concept Papers received:	Will be reviewed by a USAID/DRC Selection Committee convening on/or about:
After Annual Program Statement issuance and before October 24, 2018	October 30, 2018
After October 19 and before February 26, 2019	March 5, 2019
After February 26 and before June 25, 2018	July 2, 2019

USAID/DRC plans to provide individual results of the Concept Paper merit review process to each Concept Paper Applicant within approximately 20 work days of the Selection Committee meeting date. USAID/DRC will notify potential Applicants of significant changes in the

review process timeline through a written amendment to the Annual Program Statement. USAID/DRC, at its sole discretion, reserves the right to review Concept Papers out of cycle.

USAID/DRC anticipates two possible results from the Concept Paper merit review process:

- **Conditional Acceptance - Invited for Co-Design:** Concept Paper generally meets DRC EPP objectives and receives strong ratings against the Annual Program Statement merit review criteria. Additional clarity is needed. USAID/DRC invites Applicant to engage in Co-Design to address the weaknesses identified by USAID/DRC in its Invitation for Co-Design letter to the Applicant. If Co-Design process is successfully concluded, USAID/DRC will follow with a request for submission of a full application.
- **Rejection:** Concept Paper does not meet DRC EPP objectives and receives average to low ratings against the Annual Program Statement merit review criteria. USAID/DRC rejects the Concept Paper.

## **PHASE 2: CO-DESIGN.**

Applicants whose Concept Papers are invited for Co-Design will engage with USAID to work through areas of weakness and to respond to USAID questions and clarify aspects of the concept that are not clear. The Co-Design process builds on a Concept Paper that has strength and potential; it is not intended to supplant Applicant initiative or build new concepts from the ground up. During this phase, Applicants will work with USAID technical teams to address issues such as environmental concerns, impact indicators and evaluation of their application. USAID/DRC envisages a product of the Co-Design process is a strong draft project description for the full application phase, as well as quantitative and/or qualitative indicators or performance milestones.

If an Applicant does not succeed at the Co-Design phase, the process ends for that Applicant.

## **PHASE 3: FULL APPLICATION.**

If Applicants successfully complete Co-Design, a full application will be requested based on the consensus reached during Phase 2. At this point, USAID/DRC will issue a Request for Application (RFA) to the Applicant. The RFA will provide complete instructions for submission of a full application. The full application will detail and expand the Co-Designed concept. The full application also requires the Applicant to complete specific USG forms and to provide some additional information that USAID/DRC will need to move forward with an appropriate implementing instrument.

There are reasons why an Applicant may be unsuccessful at the full application phase. For example:

- The detailed program does not satisfy criteria and definitions provided in the Concept Paper;
- A Resource Partner drops out or does not materialize and there is no longer a 1:1 leverage;
- The Applicant cannot provide evidence that it is a legal entity; or
- USAID/DRC has other concerns after conducting due diligence or pre-award surveys.

USAID/DRC reserves the right to make no award under this Annual Program Statement at any stage of the process.

**C. CONCEPT PAPER APPLICATION CONTENT**

Concept Papers MUST be in English and submitted electronically via e-mail in Word 2000 or Word 2003 text accessible or Adobe PDF. Concept Papers shall be written in English and shall not exceed seven (7) pages, using standard page margins with 12pt font. Applicants must follow the format below. Clarity and specificity are important as is ensuring that Concept Paper narrative addresses the points USAID/DRC will use to review the Concept Paper (see Section V, Merit Review Criteria, of this Annual Program Statement). During the merit review process, USAID/DRC is likely to reject for funding those Concept Papers that are vague or merely restate Program Statement language. The approximate page lengths are provided as a rough guide and are not mandatory as long as the entire Concept Paper does not exceed 7 pages.



USAID/DRC EPP CONCEPT PAPER

**A. Application Overview – (to the extent possible or applicable, please complete the following questions below:)**

1. **Proposed Activity Name/Title:** \_\_\_\_\_
2. **USAID Funding Priority/Programmatic Focus Area** (from Section I/Appendix B of the Annual Program Statement):  
\_\_\_\_\_
3. **Proposed Period of Performance** (i.e., start date and end date): \_\_\_\_\_
4. **Total Program Amount** (in USDs): \_\_\_\_\_
5. **Total Amount of Funding Requested from USAID and total amount leveraged, including from what source(s):** \_\_\_\_\_
6. **Applicant Organization Name:** \_\_\_\_\_
7. **Applicant Contact Person** (name, phone, e-mail): \_\_\_\_\_
8. **Full Address for Applicant Organization:** \_\_\_\_\_
9. **Type of Organization** (e.g., US, non-US, multilateral, private, for-profit, non-profit) date of incorporation, etc.): \_\_\_\_\_
10. **Name(s) of Partner(s)** (Applicants that are Implementing Partners will name Resource Partner(s) (if any) here; and Resource Partners may list Implementing Partner(s) (if any) here): \_\_\_\_\_

**B. Concept Introduction:** (approximately 1/2 page). Identify the conservation and/or climate change problem you will address, linking it to one or more of the USAID/DRC CARPE focus areas in Appendix B, and briefly describe your intervention for tackling this problem. Describe why there is a strategic need for your concept, how it differs from alternatives and any relevant gender-specific considerations for the problem or solution.

**C. Beneficiaries:** (approximately 1/2 page). Describe the types of benefits the intervention will produce and the types and range of people who will benefit from this intervention. Was the concept designed with end user input? Has it or can it be adapted to reach both women and men, indigenous people and youth? How can the concept be scaled up to reach more people?

**D. Geographic Location:** (approximately 1 page). In what location(s) (e.g, Protected Area, Province, city) are you proposing to operate under this proposed partnership? Describe key elements of and actors in the value chain or intervention in the geographic location(s) in which you propose to work. What are the biggest challenges and opportunities? If you are proposing to expand an existing partnership, describe the region and market in which you are proposing to expand.

**E. Intervention approach:** (approximately 2 pages) Building on the introduction, propose a Theory of Change for how this intervention will produce the desired impact in the focus area(s) identified. Briefly describe critical barrier(s) or problem(s), related to on your focus area(s) that your concept addresses. Be sure to include information describing why the approach is creative or innovative, how it is potentially scalable, and evidence to support it as a tested solution or as an intervention likely to have a significant development impact, and how it will be sustained. Include discussion of resiliency of this idea to conflict, the potential for this idea to create and/or resolve conflicts and how the idea and partners can adapt to these circumstances. This section may also include how

*gender considerations have influenced the design of this activity and any anticipated impact this activity will have on gender dynamics.*

**F. Intervention results:** *(approximately 1 page) As specifically as possible, describe the anticipated outputs, outcomes, results and/or impact of the proposed intervention. What are the key, quantifiable metrics related to your project's performance or expected performance? What is the scale needed to achieve results sufficient to address the problem? What are the baselines that you will measure before the project begins?*

**G. Partner roles:** *(approximately 1 page) Describe and define the role of other entities in the partnership. This must include a description of the private sector partner(s)'s resource contributions and how those contributions support the award. It must describe how this meets the criteria for a public-private partnership as described in Section V of this Annual Program Statement).*

**H. Applicant capacity:** *(approximately 1 page). Describe organizational capacity – technical, managerial, financial, etc. – to carry out the proposed intervention. What is the business model for your innovation?*

[END OF SECTION IV]

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## SECTION V: APPLICATION REVIEW INFORMATION

### A. MERIT REVIEW CRITERIA

USAID/DRC will review for merit all Concept Paper applications that comply with the instructions in this Annual Program Statement.

USAID/DRC will use the following merit review elements.

	<b>Merit Review Element</b>	<b>Definition</b>
USAID/DRC will review each Concept Paper and evaluate it to the degree it meets the 2 criteria at the right:	<b>1. Technical Approach</b>	(a) The extent to which the applicant demonstrates that the proposed interventions directly supports the partnership objective for one or more of the programming/funding priorities in Section I and Appendix B of the Annual Program Statement. (b) The extent to which the applicant demonstrates that the proposed concept represents a solution that is proven, or for which there is sound evidence to conclude that the intervention will have a significant development impact. (c) The extent to which the applicant demonstrates that the intervention will be sustainable, OR have the potential to be expanded quickly, uniformly, and effectively and have a path to sustainability.
	<b>2. Public-Private Partnership Tenets</b>	The extent to which the proposed concept reflect a public-private partnership, i.e. common goals defined for all partners, a jointly defined solution to the selected development challenge, shared resources, results and risks. Partnerships that propose at least 1:1 private sector leverage will be evaluated more favorably than those with no or less than 1:1 private sector leverage. Those partnerships with 1:1 or greater private sector leverage will be evaluated more favorably the more leverage that is proposed.

[END OF SECTION V]

## SECTION VI: FEDERAL AWARD ADMINISTRATION INFORMATION

### A. FEDERAL AWARD NOTICES

USAID/DRC cannot make awards under this Annual Program Statement until it has appropriated, allocated, and committed funds through internal USAID procedures. While USAID/DRC anticipates successfully completing these procedures, potential Applicants are notified of these requirements and conditions. The Agreement Officer (AO) is the only individual who may legally commit the USG to the expenditure of public funds. Applicants are prohibited from charging or incurring costs to the proposed award prior to receipt of either a fully executed Award or a specific, written authorization from the AO.

### B. TYPE OF AWARD

USAID/DRC has a number of award types to choose when providing funds under this Annual Program Statement to successful Applicants. The type of award and terms and conditions included therein is based upon recipient organization type, program factors, and other due diligence matters (including responsibility determinations.) Following is a matrix of commonly used awards, their general prescription for use and key characteristics.

Award Type:	Generally used when:	Characterized by:	More information:
Fixed Amount Award (FAA)	Milestones can be defined; Adequate pricing information is available; Recipient has limited financial and management capacity. Must be a grant – not a cooperative agreement.	Advantages for both USAID and the recipient (when used appropriately). Milestones with fixed amounts assigned to each. Focus is on outputs and results, limits risk for both parties. Grantee is paid when USAID concurs the milestone is completed. Minimizes administrative burden on USAID and the grantee since payment is not cost-reimbursement. Assists in building institutional capacity of new grantees.	<a href="https://www.usaid.gov/ads/policy/300/303saj">https://www.usaid.gov/ads/policy/300/303saj</a>
Cooperative Agreement	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG	Recipient is free to pursue its sponsored program with USAID AOR involved in defined technical areas (referred to as “substantial involvement”). Such involvement may include: approval of annual work plans, approval of key personnel, authority to halt a construction project, joint collaboration and participation (defined in the award and specific to the project)	<a href="https://www.usaid.gov/ads/policy/300/303">https://www.usaid.gov/ads/policy/300/303</a>
Cooperative Agreement/ Grant with Continuing Application	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG and USAID/DRC will engage in multiple years/expanded program based on success of initial year efforts and program.	Characteristics are same as above but the “continuing application” feature of this award means that implementers will “re-apply” for continuation of the program through an oral presentation of the annual report of previous years’ results and work plan for the next year. This type of award allows USAID/DRC to easily extend and expand the program since this feature is built-in. It also allows USAID to end programs that do not meet the potential or have the impact described during the Concept Paper and original Award phase.	

Cooperative Agreement/ Grant with Adaptive Modules	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG and USAID/DRC will engage in multiple years/expanded program based on success of initial year efforts and program.	A grant using a modular construct consists of a series of blocks of work -- modules. Each module stands alone and produces some result -- these results may be administrative or technical, they may be deliverables or simply indicators that the intervention is on the right track. The important point is that the module can be defined by when it starts and when it stops. It can be time based (six months long) or event based (when the materials are ready). Each module is unique -- the type of result, method of measure, and time or event based depends on the needs of that specific module. At the conclusion of each module is a decision point. The data, assessment, stakeholders, and decision maker arrive at that decision point to determine the direction of the subsequent module. During the implementation of the module, there is a parallel assessment, learning, and design of the subsequent module going on. Module 2 is designed based on what was learned in Module 1.	
Grant	Recipient has adequate financial and management capacity to operate on a cost-reimbursement basis with the USG and USAID/DRC will not be “substantially involved” in selected programmatic elements.		<a href="https://www.usaid.gov/ads/policy/300/303">https://www.usaid.gov/ads/policy/300/303</a>
Transition Award	USAID/DRC will initially engage with a partner through a prime award with another entity but plans for a direct award relationship to evolve.	Characterized by a requirement for the prime awardee to work with and build the capacity of the sub-partner, fully preparing them for a direct award with USAID.	

**[END OF SECTION VI]**

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

USAID/DRC  
Office of Acquisition and Assistance  
Mobil Building, 198 Avenue Isiro  
Gombe–Kinshasa, Democratic Republic of the Congo  
Email: [KinshasaProposals@usaid.gov](mailto:KinshasaProposals@usaid.gov)

**[END OF SECTION VII]**

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## SECTION VIII: OTHER INFORMATION

### A. FREQUENTLY ASKED QUESTIONS

**Question:** *Can an organization submit more than one Concept Paper in response to this Annual Program Statement?*

**Answer:** Yes, but we would prefer Applicants to apply for the area where they see the greatest potential for an impactful partnership.

**Question:** *Does a contribution from the government/ public sector count towards the leverage provided by the Resource Partner in the project?*

**Answer:** Yes, public sector resources could count towards the required 1:1 match. However, our preference would be to generate private sector funding.

**Question:** *Is \$2 million the minimum USAID award amount?*

**Answer:** \$2 million (including USAID funding) is the minimum application amount. USAID reserves the right to make awards of varying sizes.

**Question:** *Does the Applicant have to finalize the alliance before submitting a Concept Paper?*

**Answer:** Extensive private sector engagement must be evident, private sector resource commitments should be clear, and the private sector resources leveraged should meet the 1:1 requirement. While the Applicant does not have to finalize the alliance between non-USAID partners prior to submitting a Concept Paper, USAID/DRC will evaluate the level of partner engagement and commitment as part of the public-private partnership merit review criteria. Letters of support, intent or commitment from prospective Resource Partners are valuable indicators of such commitment, as are draft Memoranda of Understanding (MOUs) that describe the roles, responsibilities, and contributions of each of the alliance partners.

**Question:** *Does USAID perform the monitoring and evaluation of the project?*

**Answer:** In general, Implementing Partners that receive an award to implement an alliance will have significant monitoring and evaluation responsibilities. USAID's roles in monitoring and evaluation efforts vary. Other partners may have roles in monitoring and evaluation as well. There may also be midterm and final evaluations. USAID/DRC will negotiate these and other responsibilities such as reporting, agency substantial involvement, and award type in the event the Applicant's Concept Paper is accepted.

[END OF SECTION VIII]

## **APPENDIX A – ABBREVIATIONS AND ACRONYMS**

AO	Agreement Officer
AOR	Agreement Officer's Representative
CARPE	Central Africa Regional Program for the Environment
CFC	Community Forestry Concession
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
DO	Development Objective
DRC	Democratic Republic of the Congo
EPP	Environment Partnership Program
FAA	Foreign Assistance Act of 1961, as amended
FDLR	Democratic Forces for the Liberation of Rwanda
GDA	Global Development Alliance
GDRC	Government of DRC
IEE	Initial Environmental Examination
IR	Intermediate Result
MEL	Monitoring, evaluation, and learning
MOU	Memoranda of Understanding
NTFP	Non-timber forest products
PA	Protected Areas
PAD	Project Appraisal Document
PPP	Public-Private Partnership
REDD+	Reduction of Emissions from Deforestation and Forest Degradation
ROC	Republic of the Congo
USAID	United States Agency for International Development
USD	U.S. Dollars
USG	United States Government
WCS	Wildlife Conservation Society
WWF	World Wildlife Fund



## APPENDIX B – PROGRAM FUNDING AREAS

The goals of the *DRC EPP* are to (1) Mitigate threats to biodiversity in the DRC; and (2) Accelerate land use practices that stop, slow, and reverse emissions from deforestation and degradation of forest and other landscapes. Partnerships will contribute to and pursue outcomes related to one or both of these goals. Proposed alliances should have a “demonstration effect” that results from proving a model and stimulating others to adapt or replicate the model for use in other landscapes or a “scale effect” that takes successful approaches and amplifies the scale of the impact. As such, applicants should identify how a proposed model could be replicated in a cost-effective manner and become financially sustainable. Funding areas are described below:

### 1. **MANAGEMENT OF 2 DRC PROTECTED AREAS: ATTRACT PRIVATE FINANCING & MANAGEMENT**

*Minimum award amount: \$6 million*

During the last ten years, the GDRC has initiated a transition toward broader partnership approaches to protected area management. Several PPPs have been established and others are in various stages of partnership establishment. PPPs often lead to improved biodiversity outcomes due to increased professionalization of management practices, attracting local and international talent and leveraging additional private funding.

**Partnership objectives:** Attract private financing, leverage expert knowledge and create a transparent and inclusive environment for sustainable natural resource management and rural development. Concept papers should focus on one or more of the following protected areas:

Salonga National Park: USAID seeks to protect the resources of the Salonga National Park which hosts large blocks of intact forest and important populations of large mammals including bonobos. WWF signed a 3-year co-management agreement with the GDRC in 2015 for the management of the Salonga National Park. The primary objective of this 3-year co-management agreement is to establish delegated authority for the management of the Park with WWF in advance of a 10-year agreement expected after the co-management agreement comes to an end.

Okapi Faunal Reserve: USAID seeks to protect the resources of the Okapi Faunal Reserve which hosts large blocks of intact forest and important populations of large mammals including Okapi. A central strategy to improve natural resource management in the Okapi Faunal Reserve is the establishment of a delegated authority agreement for the Wildlife Conservation Society (WCS) to manage the reserve. These discussions are now underway between WCS and the GDRC.

## 2. COMMUNITY FORESTRY CONCESSIONS

*Minimum award amount: \$4 million*

Although still relatively low compared to other major forest areas, deforestation and forest degradation rates are increasing in the DRC. Unregulated artisanal logging and mining create pockets of deforestation that draw people into the forest and drive increased hunting pressure. Failure to establish or enforce property rights within forestlands means that they become *de facto* open access areas even if they may be technically within the boundaries of a concession or customary territory.

Community forestry concessions (CFCs), established under the 2014 Community Forestry decree in DRC, are a way to clarify rights and access to forests and forest products. USAID partners and other donors are supporting CFCs around areas of high conservation value, but the process of establishing governance systems that ensure the equitable and sustainable management of community forests requires a long term effort and strategies to mitigate forms of elite capture and corruption that have plagued other community forestry efforts. This new governance approach will only be game-changing if it is matched with innovations in sustainable revenue alternatives based on forest protection and local management.

### **Partnership Objectives:**

Foster private sector partnerships to sustainably generate revenue from community forestry, while contributing to improved governance of forests and benefits for local community members.

## 3. TOURISM EXPANSION

*Minimum award amount: \$2 million*

Tourism is a way to sustainably obtain value from wildlife and conservation, however, developing a functioning tourism industry in Central Africa faces numerous hurdles even where iconic wildlife like mountain gorillas are an attraction. DRC in particular has one of the worst business climates in the world in addition to having a reputation for being a country wracked by violence and disease. Yet it contains spectacular biodiversity, landscapes and fascinating cultures, including authentic visual arts, music and dance. The assets exist in the country but may be considered a last frontier of adventure tourism, particularly where limited infrastructure exists.

Despite these obvious challenges, growth of nature-based tourism remains a viable strategy to raise revenue for management of threatened natural resources, create rural service jobs and build a constituency for the value of the country's natural assets. For example, Virunga National Park receives thousands of tourists per year, Kahuzi-Biega National Park was ramping up tourism until recently and CARPE partner AWF is piloting tourism to see habituated bonobos in the Maringa-Lopori-Wamba landscape, which has not experienced

insecurity. Other more secure locations such as Salonga National Park may have even more promise.

Interventions may focus on a number of different limiting factors to expand the sector, including:

- Improving tourism infrastructure that will lead to increased tourist numbers and revenue for the protected areas;
- Improved skills for tourism operators and personnel that will lead to greater employment in the nature-based tourism sector;
- Establishment and implementation of local tourism strategies to enable and encourage citizens to visit attractions.

**Partnership Objectives:**

1. Improve the enabling environment for nature-based tourism in DRC's protected areas in ways that generate scalable and sustainable revenue for protected area management and substantial benefits to local communities.
2. Increase professional tourism management in protected areas and motivate increased participation and investment by strategically placed private tourism operators within tourism destinations with high growth potential.

**4. DEVELOPING ALTERNATIVES TO WILD-CAUGHT BUSHMEAT**

*Minimum award amount: \$1million*

In DRC, wildlife (bushmeat) is an important part of the diet for both urban and rural populations. The commercial bushmeat trade, which serves towns and cities, is known to bring to market high volumes of meat, including endangered species such as the okapi and gorilla. Fa et al. (2002) reported that 60% of mammal species are overhunted in DRC and this percentage is likely to have increased since that study.<sup>1</sup> Overhunting for bushmeat is leading to reduced resilience of forests due to "[empty forest syndrome](#)" as well as being a major threat to the wildlife species.

The bushmeat trade represent a "non-point source" threat to biodiversity so to the degree possible, approaches to address this issue should be focused on the systems and markets as opposed to the landscape level under this program funding area. CARPE partners have undertaken some work on bushmeat over the years, including testing alternative protein (guinea pigs in eastern DRC), researching volumes and species in urban markets and retraining female bushmeat vendors in other trades. New funds from the European Union are now supporting work on bushmeat in DRC and the Republic of the Congo (ROC). Interventions can take place at different levels, for example:

- Improving the availability, affordability and attractiveness of meat-protein alternatives to bushmeat where these markets and demand exists, including improving fisheries

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<sup>1</sup> Fa JE, Peres CA and Meeuwig J. 2002. Bushmeat exploitation in tropical forests: An intercontinental comparison. *Conservation Biology* 16(1):232–7.

management so that fisheries are more productive, as fish are the most attractive and affordable alternative to bushmeat for many consumers;

- Testing “bushmeat management” approaches in community controlled areas such as community forests;
- Improving enforcement of hunting regulations, particularly around protected areas where most animals are now found due to depletion in other areas; and
- Reducing demand for bushmeat in measurable ways through media, arts/music, religious or other culturally appropriate channels.

**Partnership objectives:** Decrease bushmeat production, transport, sale and consumption by applying high impact, replicable and scalable solutions affecting the bushmeat value chain, keeping in mind the systemic nature of the problem (e.g., improving management in one place can displace hunting effort and better management of the resource may not affect demand).

## 5. DISPLACE CHARCOAL USE IN URBAN AND PERI-URBAN AREAS

*Minimum award amount: \$1million*

Like many countries in Africa, the DRC is facing a growing urbanization challenge: one of every three people now resides in an urban area, many in informal settlements or slums. Many, if not most, urban and peri-urban residents rely heavily on charcoal to cook, heat water, and in some areas, for heating. This high demand for and production of charcoal is one of the most important drivers of forest degradation in the DRC. High demand for charcoal is driven by poverty - charcoal may be less expensive than alternatives and it can be packaged in small quantities to be affordable for poor households - as well as lack of access to affordable alternative energy sources and preference for foods cooked over charcoal. At the same time, charcoal takes advantage of an open access resource and its production and sale can be a major source of income for some individuals in impoverished rural communities and throughout the value chain. Charcoal production is so lucrative that militias also use it to fund their operations, notably the Democratic Forces for the Liberation of Rwanda (FDLR) in Virunga.<sup>2</sup>

There is a need to improve the sustainability of the charcoal value chain and to develop alternative energy sources that can replace the use of charcoal to reduce deforestation. CARPE partners in certain areas, including Virunga, have invested in improved cookstoves, development of woodlots, and sustainable charcoal production, but careful analysis is needed to assess how effective these strategies are at addressing demand for and sustainable supply of charcoal and at reducing deforestation and forest degradation.

**Partnership objectives:** Decrease charcoal production, transport, sale and use in urban and peri-urban areas by households and businesses. Solutions will be scalable, replicable and may include alternative fuels, efficiency improvements or address any dimensions of the charcoal value chain that shows promise of positive impact on forests and citizens.

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<sup>2</sup> <https://www.foreignaffairs.com/articles/democratic-republic-congo/2016-05-12/virungas-charcoal-cartel>

## 6. COUNTERING WILDLIFE POACHING AND TRAFFICKING

*Minimum award amount: \$1 million*

Illegal trade in wildlife and wildlife products, or wildlife trafficking, is one of the largest black markets in the world, while poaching to fuel this trade globally threatens the survival of iconic species and fuels insecurity for nations and regions, harming their economic development. Although poachers are the face of the problem, violent criminal networks are behind illicit trade in many species, exploiting humans and nature for profit. This trade is a threat not only to biodiversity but to the security and stability of the human populations.

The region faces immense challenges in tackling this trade, including: a high level of corruption and complicity in wildlife crimes, porous borders, the presence of foreign investors with links to demand countries, lack of coordination among law enforcement and customs agencies, and a weak judiciary. To date, the major focus of USAID's approach to wildlife crime has been on strengthening the management of a network of Protected Areas (PAs), including building the capacity of ecoguards to carry out law enforcement patrols, improving engagement with the surrounding communities, and developing the core park management systems. Beyond PA management, USAID has worked to develop the capacity for investigations and prosecution of wildlife crime. Although promising, these efforts must be vastly scaled up and mainstreamed into the justice system if they are to make an appreciable dent in the trade.

**Partnership objectives:** Decrease the transport and sale of illegal wildlife products. May include development of incentives for those currently involved in or benefiting from the trade to adopt actions that decrease wildlife trade. USAID/DRC already invests considerable resources to stop killing of wildlife inside protected areas and the EPP will give priority to complementary approaches that are innovative or scalable that make it more difficult to transport, sell or consume illegal wildlife products.

## 7. ALTERNATIVES TO SHIFTING AGRICULTURE

*Minimum award amount: \$1.5 million*

Globally, habitat destruction and degradation driven by the agricultural sector, together with species overexploitation, are the greatest contributors to biodiversity and forest loss.<sup>3</sup> However both subsistence and commercial agriculture are the backbone of the rural economy and contribute to stability and security, especially compared to illegal and extractive activities such as artisanal mining and logging. To meet its food security and economic needs, DRC plans to dramatically increase agricultural output. The potential to do this is real, as the country contains over 20 million additional ha of non-forested land suitable for agriculture, and the yields of the most common farming system are well below potential. However, expanding agricultural production while minimizing the impacts on forests and biodiversity that other

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<sup>3</sup> Maxwell, S.L. et al., *Biodiversity: The ravages of guns, nets and bulldozers*. *Nature* 536: 7615 10 August 2016

regions (e.g., the Amazon, Southeast Asia) have experienced will require a multi-sectoral long term effort.

The practice of shifting cultivation, commonly called “slash and burn” is seen by many actors (e.g., [the national REDD+ strategy](#)) as a major driver of deforestation in the DRC. The distribution and rate of expansion of shifting cultivation are influenced by subsistence and market demands associated with demographic factors, including natural population growth and migration. It has expanded most rapidly in fronts along population-dense rural zones, out from urban centers, and along transportation routes.<sup>4</sup> Therefore, improvements to the country’s road network may pose the greatest single risk to forests in the near term by changing access to markets.

“Sustainable intensification” approaches that promise higher yields with reduced deforestation face numerous hurdles. A limited number of areas in the country currently have the population density and market systems critical to intensification.<sup>5</sup> The government’s program for enabling agriculture on underused non-forestland targets capital-intensive agricultural systems, and thus is not going to change the practices of smallholders living in forested areas. There are a number of efforts to revitalize and/or expand cocoa and coffee, including by CARPE partners. While these crops have the potential to foster intensive, environmentally friendly, sustainable growth; global experience shows that expansion of tree crops can be drive deforestation as much as staple crop agriculture absent strong protection of forestland.

USAID partners have invested in a wide range of agricultural intensification programs across the Congo Basin, but have in most cases struggled to take these to a scale sufficiently large to have an impact on overall rates of deforestation and degradation. Additionally, there is a need to evaluate the impact of these agricultural activities on rates of deforestation and forest and land degradation.

Interventions in this program funding area should target impact where 1. Deforestation rates are the highest, and 2. Carbon density is the highest and focuses on activities that achieve reduced impact on forests and biodiversity at a significant scale such as:

- Support to build the capacity of a sector (through a professional network or organization) such as coffee, cocoa or plantains to ensure environmental sustainability;
- Support to reduce the impact on forests of important crops such as oil palm and cassava through scalable innovations;
- Analysis of constraints to rehabilitation of plantations in degraded forestland;
- Development of biodiversity guidelines for larger scale investors (agribusiness); and
- Expansion of voluntary regulation platforms designed to reduce impacts on biodiversity and forest degradation such as FSC or others related to coffee, cocoa, oil palm or agricultural products.

**Partnership Objectives:** Improve the enabling environment for an agricultural sector that meets local and national food security needs while reducing the impact of the sector on forests and biodiversity.

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<sup>4</sup> <https://news.globallandscapesforum.org/13233/slash-and-burn-main-threat-for-drc-forests-or-is-it/>

<sup>5</sup> Intensification by definition involves increasing labor or capital inputs to produce the same or more output in the same area. While intensification may be technically feasible it is not attractive to farmers unless there is a price incentive.