



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

Opportunity Number: CAP-SL-APS-001

Issuance Date: 12 July 2022

Questions: Responses to questions received via email (see Section 4) will be posted via the same link where this Annual Program Statement is located by the 15th of each month until 15 June 2023.

Round 1 Deadline for Concept Papers: August 31, 2022

- Concept papers received after August 31 will be reviewed on a rolling basis as determined by the project, and the number of concepts received. Concepts will also be approved on a rolling basis until allocated funds are expended for the year.

APS Deadline: This APS will close on July 1, 2023.

Dear Applicants,

Tetra Tech ARD, the implementing partner for USAID's **Climate Adaptation Project** pursuant to the Foreign Assistance Act of 1961, as amended, and in accordance with **USAID Contract No. 720-383-21-C-00001**, is authorized to provide **Grants under Contract (GUC)** to meet its program objectives. The Climate Adaptation Project seeks concept papers from qualified organizations in Sri Lanka to implement programs related to climate adaptation within the framework of the project's objectives.

This Annual Program Statement (APS) is a two-tier process that consists of:

Tier 1: Concept Papers

Tier 2: Full Applications.

In Tier 1, the Project will review the concept papers with an **initial due date of August 31 2022** followed by periodic reviews on a rolling basis. If the concept paper is deemed to be responsive to the solicitation and demonstrates a link to the Climate Adaptation Project's objectives, the applicant will be asked to submit a full application (Tier 2). The final selection for award will be made on the basis of the second tier-applications, which will pass through a second review process by the project's Review and Evaluation Committee (REC).

The USAID Climate Adaptation Project reserves the right to fund any or none of the applications submitted. Additionally, any award pursuant to this funding opportunity is contingent upon the availability of funds. For the purposes of this program, this APS is being issued and consists of this cover letter and the following sections. Please read the APS in its entirety before submitting your concept paper to ensure your organization's eligibility and that your submission complies with all requirements. This APS consists of this cover letter and the following sections:



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

Section 1: Program Description

Section 2: Award Information

Section 3: Eligibility Information

Section 4: Submission Information

Section 5: Review Information

Section 6: Application Process and Administration Information

Attachments:

Attachment A: Concept Paper Template

Attachment B: Pre-Award Terms and Conditions

Thank you for your interest.

Sincerely,

Nick Hobgood

USAID Climate Adaptation Project, Chief of Party



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION I. PROGRAM DESCRIPTION

I. Background

The USAID Climate Adaptation Project is a five-year project, designed to enhance the adaptive capacities of the public and private sectors and local communities in Sri Lanka to climate change impacts in ways that contribute to sustained, inclusive market-based growth.

The Project implements activities in Sri Lanka to address these challenges under three objectives:

- **Objective 1:** Identify and scale up innovative solutions to adaptively manage climate-related risks through market-driven private sector and community engagement;
- **Objective 2:** Strengthen central and/or local governance to address climate-related risks; and
- **Objective 3:** Improve availability and access to high-quality information for decision-making to reduce vulnerability to climate change.

Sri Lanka is highly vulnerable to climate change impacts due to a combination of geographic, socio-economic, and institutional factors. Climate projections indicate that the frequency and severity of floods, droughts, and landslides will increase; temperature parameters will trend upward; sea level rise will exacerbate extreme coastal weather events; and cyclones will increase in frequency and intensity. These climate risks will have significant impacts on priority economic sectors in Sri Lanka, notably tourism (which generates over US\$3 billion/year and accounts for approximately 11% of total employment), agriculture (which accounts for nearly 11% of gross domestic product with 80% of food produced by smallholder farmers), and fisheries (the most significant economic activity in the coastal zone, where one-third of Sri Lanka's population lives).

While the private sector is aware of climate change and the significant risks it poses for Sri Lanka, there is limited application of specific adaptation solutions that can effectively manage these risks (Objective 1). Climate risks have not been adequately integrated into policy and regulatory frameworks, particularly land use planning and coastal development policies that require addressing political economy issues underlying weak inter-sectoral coordination, limitations in institutional and individual capacity, and inadequate financial resources (Objective 2). Tremendous potential exists for the private sector, the Government of Sri Lanka, and civil society to productively use climate information and tools to inform adaptation innovation, policy decisions, and investments (Objective 3).

2. Purpose and Objectives

The Climate Adaptation Project is seeking applications from qualified organizations, including international and local non-governmental organizations (NGOs), civil society organizations (CSOs), community-based organizations (CBOs), and private sector organizations to propose innovative approaches or methodologies on a broad range of issues including:

- Provide catalytic seed funding to support promising interventions that attract additional investment.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

- Implement community-based adaptation projects in geographically vulnerable communities.
- Develop outreach strategies to disseminate climate risk information

The Climate Adaptation Project seeks applications from qualified organizations (Applicants) in Sri Lanka, to develop and deliver innovative climate adaptation interventions in the agriculture (this includes plantations, livestock and other farming systems), fisheries (coastal, inland, and aquaculture) and tourism sectors. These climate adaptation interventions should be designed to develop business solutions into scalable and sustainable ventures that provide commercially viable and competitive goods and services, thereby reducing climate risk by enabling associated communities to better adapt to anticipated climate change impacts.

Applicants should incorporate the following considerations within their application:

The USAID Climate Adaptation Project seeks to issue grants to scale sustainable and innovative approaches to climate resilient agriculture, fisheries and tourism within those target communities most impacted by climate change. Selected grantees will work closely with project staff, consultants, local partners, and government to develop and deliver services, goods and/or skills that de-risk agriculture, fisheries and tourism associated livelihoods in the context of observed and anticipated climate change impacts. Climate impacts include unpredictable weather events such as increased rainfall and flooding, decreased rainfall and longer dry season, sea level rise storm surge, increased intensity and frequency of cyclone activity, and increased temperatures.

Proposed approaches should have broad-based benefit to a large number of beneficiaries and be demonstrably innovative, sustainable, and scalable.

Innovative: - The Concept Paper should propose approaches or solutions that are new approaches in the agriculture, fisheries and tourism sectors in Sri Lanka. The innovation can be in the context of technology, access to services or inputs, industrial practices, business models, ecosystem management or an integrated combination of several approaches. Innovation can include novel ways to package, deliver and scale appropriate existing practices.

Sustainable: - The Concept Paper must clearly articulate how the proposed intervention can result in lasting impact beyond the grant intervention. For example, if the proposed intervention is to promote a new technology or service, the applicant must demonstrate that the beneficiary will retain access to the technology or service beyond the grant intervention period. Sustainability can be demonstrated via market mechanisms, private financing, government support or community reinvestment. The applicant is encouraged to demonstrate their interest and commitment to continue to invest to achieve scale and sustainability.

Scalable: - The intervention should have the potential to be scaled up, expanded, adapted, or replicated over a reasonable time period without significant external resource input. Post-grant intervention, there



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

still may be a need for some form of viability gap funding, but once a critical threshold is surpassed, the proposed solution should have the potential to be scaled to have broad-based benefit.

Gender, Youth and Social Inclusion: – The application should include a strategy to not only support women, under-represented groups and/or youth-led interventions but also interventions that can benefit and provide employment for women, youth and marginalized or under-represented groups.

Geographic and Socio-economic: – The application should include a strategy to ensure broad-based outreach to encourage entrepreneurs from across Sri Lanka to benefit from the proposed program. The strategy should articulate systematic and concerted actions to reach out across urban, semi-urban and rural communities, and under-represented groups.

Broad-based benefit: – The solution, when scaled either through external acquisition or capital infusion, should continue to provide broad-based benefits to people who are engaged in agriculture and/or fisheries, and tourism. Private benefit to entrepreneurs and investors should result in cumulative benefit to society at large.

3. Geographic Focus

This APS will focus on the agriculture (including livestock and plantations), fisheries (marine, inland and aquaculture) and tourism sectors in all provinces of Sri Lanka.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION 2. AWARD INFORMATION

1. Number and Value of Awards

USAID Climate Adaptation Project anticipates awarding approximately 5-10 awards as a result of this APS. Awards are anticipated to range from \$30,000 to \$200,000. The number and value of awards is dependent on the quality of the concept papers received, their link to the Project's objectives, and available funding. The applying organization may submit only one Concept Paper per review cycle. If the applicant submits more than one Concept Paper per review cycle, the first will be reviewed and the other will be disqualified from the review process. If a Concept Paper is disqualified, applicants will be invited to submit a new Concept Paper for review during the next cycle.

2. Period of Performance

The applicant shall specify the period of performance of the project being proposed. It is anticipated that the duration of grants will be 12-24 months but may be shorter or longer depending on the technical scope.

3. Grant Type

Climate Adaptation Project anticipates awarding a combination of Standard Grants, Simplified Grants, Fixed Amount Awards and/or In-Kind Grants (see below descriptions of each) from this APS. The type of award will depend on the nature of the activities and the capacity of the applying organization.

Standard Grant (SG): Activities may be more complex in nature and funds are typically advanced in 30-day installments based on anticipated projections and reconciled on a monthly basis.

Simplified Grant (SiG): Activities are usually simple in nature and funds are reimbursed based on actual costs incurred.

Fixed Amount Award (FAA): The grantee and the Project will establish a set of pre-identified milestones with a fixed payment tied to the successful completion of the milestone. Activities and outcomes must be priced with reasonable degree of certainty for this type of grant (e.g., studies, surveys, workshops, etc.).

In-Kind Grant (IKG): Activities are usually simple in nature. The Project will assume procurement responsibility of all goods and services and provide them to the grantee in-kind to complete the grant activity; no cash will be transferred to the grantee.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

4. Cost Share Requirements

Cost share is encouraged as a part of this award, but not required. The Climate Adaptation Project is looking to support entities interested in co-investing in profitable climate-smart interventions. Applicants will not be scored negatively for not including cost share. However, cost share/investment will be used to break any ties among equally scored applications after all other factors have been evaluated.

Cost share refers to the resources a recipient contributes to the total cost of an agreement. Cost share becomes a condition of an award when it is a part of the approved award budget. The cost share must be verifiable from the recipient's records; for U.S. organizations, it is subject to the requirements of [2 CFR 200.306](#), and for non-U.S. organizations it is subject to the Standard Provision for Non-U.S. NGOs, "Cost Share"; and can be audited. If a recipient does not meet its cost share requirement, the Project may apply the difference in actual cost share amount from the agreed upon amount to reduce the amount of USAID funding for the following funding period, require the recipient to refund the difference to USAID when this award expires or is terminated, or reduce the amount of cost share required under the award.

5. Funding Restrictions

The following restrictions apply to awards issued under this APS:

- The award will not allow the reimbursement of pre-award costs. That is, only allowable obligations incurred during the period defined within the grant agreement will be reimbursed.
- Nonrefundable VAT is not considered allowable under this APS.
- 'Construction' as defined in ADS 303maw is not allowable:
<https://www.usaid.gov/sites/default/files/documents/1868/303maw.pdf>
- The award will not allow the reimbursement of any goods and/or services that utilize telecommunications and video surveillance products from the following companies: Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company, or any subsidiary or affiliate thereof, in compliance with 2 CFR 200.216.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION 3. ELIGIBILITY INFORMATION

1. Eligible Applicants

The USAID Climate Adaptation Project invites concept papers from the following types of eligible organizations:

- Civil Society Organizations (CSOs);
- Community Based Organizations (CBOs);
- National, regional, and local non-governmental organizations;
- US, Non-US and International NGOs;
- Private foundations, training institutes and universities;
- Private enterprises or firms (profit is not allowed under Climate Adaptation Project grants¹); and
- Business and professional associations.

In addition, the Project, will assess all grantees in the below criteria prior to grant award, and based on that pre-award assessment, may include additional conditions. Organizations that have not previously received USAID funding are encouraged to apply. To be eligible for award, applicants must demonstrate that they:

- Possess sound managerial, technical, and institutional capacities to achieve project results; Project staff will visit the selected applicant's office to conduct a pre-award survey in order to determine their operational practices and capacity to manage the proposed activity.
- Possess and apply a system of internal controls to safeguard assets and to protect against fraud, waste, and conflicts of interest;
- Are legally registered and recognized under the laws of Sri Lanka Are in good standing with all civil and fiscal authorities;
- Possess financial accountability and maintain detailed records of all expenses;
- Do not have a negative determination on the SAM, UN 1267 or OFAC Blocked Persons Lists; and
- Are willing to sign applicable assurances and certifications prior to award.

2. Ineligible Applicants

The following organizations are **not** eligible for Climate Adaptation Project grant funding:

¹ Profit is any amount over and above allowable direct and indirect costs. Commercial organizations must confirm, as a condition of the award, that the proposed grant budget does not include any amount above the allowable direct and indirect costs needed to successfully implement the grant activity, and the Climate Adaptation Project will analyze all costs to ensure they are allowable, reasonable, and necessary for the grant activity. This prohibition does not apply to profit generated by the grantee outside of the grant activity, or after the grant end date.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

- Individuals;
- Political parties, groupings, or institutions, or their subsidiaries and affiliates;
- Partner Government Entities (including Parastatals);
- Public International Organizations (PIOs);
- Organizations that appear as ineligible on the SAM, UN 1267, and/or OFAC/SDNBP lists;
- Organizations that promote or engage in illegal activities or anti-democratic activities;
- Faith-based organizations that are not in compliance with ADS 303.3.28, which is in accordance with Executive Order 13279, Equal Protection for the Laws of Faith-based Community Organizations; and/or whose objectives are discriminatory or religious in nature;
- An organization that refuses to sign the required certifications;
- Organizations that are not legally registered in the country of implementation (Sri Lanka);
- Any entity that has been found to have misused USAID funds;
- Any organization that cannot meet USAID small grant management requirements; or
- Any organization not approved by USAID.

3. Illustrative List of Eligible Activities

Concept Papers responding to this APS may include, but are not limited to the following illustrative examples:

- Access to climate resilient/smart agricultural systems (e.g. water management, precision agriculture, sensor technology, mobility services, market information etc)
- Access to affordable insurance, credit and financial services – financial inclusion (to access and invest in climate resilient practices or technology)
- Access to early warning information on climate-related disasters (such as drought, flooding, hurricane, etc.)
- Access to strategic information and planning tools and models such as GIS and numerical simulation models of climate data
- Access to advisory services for climate resilient agriculture (climate resilient crop selection, farming practices, soil management practices, better agronomic practices etc).
- Environmental or ecosystem management (on farm or off farm – eg. catchment management for inland fisheries and aquaculture)
- Measure to reduce post-harvest price volatility and income variability (off-taker guarantees, improved market information and access)
- Access to flood or drought tolerant seed/planting materials.
- Measures to reduce Post Harvest Loss (promote and improve access to climate-resilient warehouse and storage systems)
- Measures to improve fish processing, drying and cold-chain technology to facilitate transportation to market.
- Early warning/weather information services for fishermen

Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

- Aggregator models: sustainable and scalable solutions to bundle and provide multiple climate resilient goods and/or services required by the farmer via a one-stop-window (the aggregator could be SMEs, corporate entities or an NGO)
- Access to climate resilient/smart tourism products (e.g., use of smart applications, etc.)
- Use of climate resilient technologies (e.g., eco-friendly beach replenishment and coastal protection, etc.)
- Establishment of an insurance mechanism to reduce the climate impacts on the tourism sector through risk sharing and risk management
- Nature tourism resource planning (e.g., ecosystem valuation and natural resource mapping, crowd data sharing platforms, etc.)
- Climate smart technologies and innovation for use in tourism value chain and service sector (e.g. use of smart water technology, storage solutions, eco-friendly gray water treatment, etc)
- Access to affordable insurance, credit and financial services – financial inclusion (to access and invest in climate resilient practices or technology)
- Sustainable tourism initiatives that support environmental, ecosystem or protected area management (wetlands, mangroves, reef systems etc)
- Green and socially responsible product/services certification and marketing promoting competitive value chains

4. Ineligible Activities

The following activities are not eligible for funding:

- Activities that duplicate the activities of other USG-supported program or programs conducted by other organizations in Climate Adaptation Project target regions;
- Activities that are inconsistent with international standards of human rights or with democratic goals of racial and ethnic tolerance and harmony;
- Ceremonies, parties, celebrations, or “representation” expenses except for those that are specified in the grant (for example, opening ceremonies) to promote the visibility of USAID in the eyes of the communities USAID is trying to serve;
- Involuntary sterilization programs;
- Abortion-related activities and biomedical research relating to abortion;
- Construction, as defined in <https://www.usaid.gov/ads/policy/300/303maw>; and
- Activities outside the contract scope and/or not approved by USAID.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION 4. SUBMISSION INFORMATION

1. Instructions

Eligible Applicants should submit a Concept Paper in English following the format provided in Attachment A. Concept Papers should not exceed (4) four pages (not including the cover page) and must contain the information requested in Attachment A. Concept Papers that do not follow the format provided will not be evaluated.

2. Submission Dates and Times:

Concept papers will be reviewed as follows: First round of concept papers will be reviewed after August 31, 2022. Concept Papers received within each review period will be evaluated during that cycle. Concept Papers will be reviewed on a rolling basis until the APS closing date of July 1, 2023.

If a Concept Paper is disqualified, the applicant will be invited to submit a Concept Paper to be evaluated in the next review cycle.

3. Submission Point of Contact

Questions and Concept Papers must be submitted electronically in English Responses to questions will be posted on the same link where this APS was posted by the 15th of each month.

They should be sent to: Opportunities.CCA@tetrattech.com

Attention: Grants Manager, Climate Adaptation Project

Please insert the following text into the subject line of the submission email: CAP-SL-APS-001.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

******* ETHICAL AND BUSINESS CONDUCT REQUIREMENTS *******

The Climate Adaptation Project and Tetra Tech ARD do not condone any action that could be considered to promote or give the appearance of conflict of interest (COI) or corruption. Employees and agents of the Climate Adaptation Project and Tetra Tech ARD are strictly prohibited from asking for or accepting any money, fee, commission, credit, gift, gratuity, object of value or compensation from current or potential grantees in exchange for or as a reward for business or grant funding.

Please note that in submitting a response to this APS, the applicant is acknowledging that USAID is not a party to this solicitation and the applicant agrees that any concerns hereunder must be presented – in writing with full explanation – to Tetra Tech ARD for consideration, as USAID will not consider protests regarding grant opportunities carried out by implementing partners. Tetra Tech ARD will investigate any such allegations and take appropriate action to remedy, correct, mitigate, report, or otherwise resolve any unethical conduct or prohibited acts in accordance with USAID requirements.

Applicants responding to this APS must certify as part of their submission, that they have materially participated in its preparation, that all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population, and they must disclose any real or potential conflict of interest with a USAID or USAID Climate Adaptation Project official involved in this APS.

Please contact Opportunities.CCA@tetratech.com with any questions or concerns regarding the above information or to report any potential violations. Potential violations may also be reported directly to Tetra Tech ARD's US office at ARD.Ethic@tetratech.com.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION 5. REVIEW INFORMATION

1. Initial Screening

Upon receipt of Concept Papers, the Climate Adaptation Project Grant Manager will review each Concept Paper to ensure it meets the minimum requirements before proceeding with technical review. The initial screening requirements include:

- Applicant has submitted a Concept Paper using the template provided and in accordance with the page length and formatting requirements.
- Applicant is a legally registered entity that meets the eligibility criteria listed above
- Applicant is not found with a negative determination in the SAM, OFAC or UN 1267 lists.

2. Evaluation Criteria

All Concept Papers that go through the initial screening will be evaluated in writing by Climate Adaptation Project staff with relevant technical expertise and as appointed by the Chief of Party, based on the following criteria:

Criteria
Does the concept paper present a clear and applicable approach that will contribute toward Climate Adaptation Project objectives?
Is the proposed concept innovative, scalable, and sustainable with potential for broad-based benefit?
Does the technical approach include clear and effective gender, youth and geographic, socio-economic, and social inclusion strategies?
Does the organization have sufficient experience in the technical area to effectively carry out the proposed activity?
Does the Concept Paper adequately address how the project will be managed?



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

SECTION 6. APPLICATION PROCESS AND AWARD INFORMATION

1. Application Process

This APS will follow a two-tier process to select final applicants:

- a) Applicants must first submit a Concept Paper in accordance with this APS. CAP will conduct a merit review of the Concept Papers based on the criteria provided in Section 5. Organizations with successful Concept Papers that demonstrate an alignment with program objectives and satisfy the minimum requirements, will be invited to submit a full application.
- b) Applicants (of the successful Concept Papers) that are invited to the next stage will be provided with information and templates to develop a full application. Full applications will be evaluated against another set of merit criteria provided with instructions for the full applications. CAP will host a “Next Steps Clinic” for all applicants invited to submit a full application, where the program will provide additional information on the application process. Further details on the date and location will be provided to those applicants following the Concept Paper stage. Unsuccessful applicants will be notified by email and invited to submit a new Concept Paper to be considered during the next review cycle.

2. Pre-Award Requirements

Notification of a successful Concept Paper or invitation to submit a full application is **not** a notification that the applicant will receive an award. The Project will conduct a thorough cost analysis of the proposed budget to ensure all costs are reasonable, allowable and allocable in accordance with USAID’s cost principles. The Project will also conduct a pre-award risk assessment to determine the capacity of the recipient organization to comply with USAID requirements and cost accounting procedures and if any special award conditions will be placed on the applicant.

While not required with the submission of the Concept Paper, successful applicants who are asked to submit full applications will also be asked to provide a signed copy of required certifications, assurances, representations, and other statements of the recipient found in [ADS 303mav](#), as applicable, which many include but are not limited to the following:

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs *[applicable to U.S. Organizations, and non-U.S. organizations if any part of the program will be undertaken in the U.S.]*
2. Certification Regarding Lobbying *[only for grants over \$100K]*
3. Certification Regarding Terrorist Financing
4. Certification of Recipient
5. Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction *[for U.S. organizations only]*



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

Successful Concept Paper applicants will also be asked to demonstrate that they have a valid Unique Entity Identification (UEI) number. Climate Adaptation Project can assist grant applicants to obtain a UEI, as necessary.

3. Award Administration

A grant award will be administered in accordance with applicable regulations as follows:

- For SGs or SiGs to U.S. organizations, [2 CFR 700](#), [2 CFR 200](#), and [ADS 303maa, Standard Provisions for U.S. Nongovernmental Organizations](#) are applicable.
- For SGs or SiGs to non-U.S. organizations, [ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations](#) will apply.
- For FAAs to US or Non-US organizations: [2 CFR 700](#), [2 CFR 200](#), and [ADS 303mat, Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations](#) are applicable.

4. Environmental and Climate Risk Management Concerns

All grants issued under the Climate Adaptation Project will be subject to the USAID requirements for environmental soundness and compliance as required by [22 CFR 216](#), and Climate Risk Management in [ADS 201ma1](#). An Environmental Review and Climate Risk Management Screening will be conducted by the Climate Adaptation Project with input from the successful applicant to determine if activities will have an adverse environmental impact or climate risk, and if proposed mitigation and monitoring measures will sufficiently minimize the impact. When submitting a Concept Paper and Full Application, applicants should address any potential impacts and the mitigation and monitoring measures that will be put in place.

5. Branding Strategy and Marking Plan

Applicants are required to comply with the Marking and Public Communications under USAID-Funded Assistance provision, which requires all programs, activities, public communications and commodities that USAID partially or fully funds under an award or sub-award to be appropriately marked with the USAID identity.

A Branding Strategy and Marking Plan (BSMP) is required of successful applicants; it is **not** required upon submission of a concept paper or full application. Applicants should be aware that if the applicant is successful, an acceptable BSMP will be a prerequisite for any resulting award. Because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget.

Applicants can find additional information as contained in [ADS 303mab, Standard Provisions for Non-US Nongovernmental Organizations](#) and [ADS 320, Branding and Marking](#).

6. Reporting Requirements

As a condition of award, all grant recipients will be required to submit regular programmatic and financial reports as outlined in the grant agreement. The frequency and type of reports will vary depending on multiple factors but will be discussed with the organization prior to award.



Annual Program Statement

USAID Climate Adaptation Project Sri Lanka

ATTACHMENT A: CONCEPT PAPER FORM

Cover Page / Introduction (1 page):

Date:	Name of Applicant Organization:	Address:
Contact Person(s):	Phone:	E-mail:
Type of Organization: (e.g., non-profit, commercial, private university, etc.)	Place of legal incorporation:	Registered and legally able to operate in Sri Lanka? (Yes/No) Provide proof of current registration.
Proposed Duration of Grant Activity:	Proposed Grant Activity Title:	
Proposed Total Grant Budget:	Proposed Geographic Area(s):	
Proposed cost share amount, if applicable (not required but encouraged):		

I, the undersigned, hereby submit this Concept Paper to Climate Adaptation Project for review and consideration. We have materially participated in its preparation. To the best of my knowledge, all information provided is current, complete, and accurate and based on the need to efficiently and effectively meet the needs of the target population. Additionally, I certify that myself nor any employee or agent of the applicant organization who assisted in the preparation of this Application have or are aware of any real or potential conflict of interest with a USAID Climate Adaptation Project official involved in this APS.

Signature*: _____

Date: _____

Printed Name*: _____

Title: _____

*Must be authorized representative of the applicant, authorized to obligate the applicant contractually.



Concept Paper: Please provide the following information in four pages or less:

1. Profile of your organization. (~ .5 page)
2. Briefly explain your technical approach, activities and tasks, and and management approach, including. (~2 pages)
 - a) Concise title and objective of proposed activity;
 - b) Discussion of the problem, objectives, method of approach, amount of effort to be employed, anticipated results, and how the work will help accomplish Climate Adaptation Project's objectives as elaborated in the APS;
 - c) Relevance of staff skills to this proposed grant project;
 - d) Strategy to support women and youth-led enterprises, as well as enterprises that can benefit and provide employment for women and youth;
 - e) Strategy to ensure broad-based outreach to encourage entrepreneurs from across Sri Lanka to benefit from the proposed program; with clearly articulated systematic and concerted actions to reach out across urban, semi-urban and rural communities, and different ethnic groups.
 - f) Identify any potential environmental impacts and present the corresponding mitigation and monitoring measures that will be put in place.
3. Describe your organization's relevant experience (~1 page)
 - a) Past performance on similar projects in the past three years (past USAID experience is not required), who were the donors for these projects, and what was the dollar value of each project;
 - b) Experience in proposed geographic region.

ATTACHMENT B: PRE-AWARD TERMS AND PROVISIONS

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 a Climate Adaptation Project official involved in the competitive award decision-making process that could affect that Climate Adaptation Project 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/ Climate Adaptation Project employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits a concept paper or application. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the Climate Adaptation Project Grants Manager no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify the USAID Climate Adaptation Project 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. The USAID Climate Adaptation Project will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PROVISION)

PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION (APRIL 2015)

(a) In accordance with section 743 of Division E, Title VII, of the Consolidated and further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), Government agencies are not permitted to use funds appropriated (or otherwise made available) under that or any other Act for providing federal assistance to an entity that requires employees, subawardees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The prohibition in paragraph (a) of this provision does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(c) By submission of its application, the prospective recipient represents that it does not require employees, subawardees, or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(END OF PROVISION)

PREVENTING TERRORIST FINANCING (August 2013)

- a) The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism including those individuals or entities that appear on the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Treasury (online at: <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) or the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

- b) This provision must be included in all subawards and contracts issued under this award.

(END OF PROVISION)

TRAFFICKING IN PERSONS (JULY 2015)

- a) The recipient, subawardee, or contractor, at any tier, or their employees, labor recruiters, brokers or other agents, must not engage in:
 1. Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;
 2. Procurement of a commercial sex act during the period of this award;
 3. Use of forced labor in the performance of this award,
 4. Acts that directly support or advance trafficking in persons, including the following acts:
 - i. Destroying, concealing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;
 - ii. Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee, unless:
 - a. exempted from the requirement to provide or pay for such return transportation by USAID under this award; or
 - b. the employee is a victim of human trafficking seeking victim services or legal redress in the country of employment or a witness in a human trafficking enforcement action;
 - iii. Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;
 - iv. Charging employees recruitment fees; or
 - v. Providing or arranging housing that fails to meet the host country housing and safety standards.

- b) In the event of a violation of section (a) of this provision, USAID is authorized to terminate this award, without penalty, and is also authorized to pursue any other remedial actions authorized as

stated in section 1704(c) of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013).

(END OF PROVISION)

BRANDING STRATEGY – ASSISTANCE (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
 - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS 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 VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
 - (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
 - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
 - (ii) Provide plans for training materials, posters, pamphlets, public service 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 VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

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

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

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

(I) 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, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

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

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

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

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

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

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

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

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

(v) The rationale for not marking program deliverables.

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

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

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

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

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

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

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

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

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

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

(END OF PROVISION)