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**Issuance Date: July 6, 2000**  
**Closing Date: August 31, 2000**  
**Closing Time: 4:30 PM Gaborone time**

**Subject: Request for Applications (RFA) 690-00-007**

The United States Agency for International Development (USAID) is seeking applications for Cooperative Agreements from qualifying U.S. organizations for funding a results-oriented cooperative agreement to implement Strategic Objective One (1), increased rural incomes of selected areas in the country of Zambia. This RFA will capture two of the intermediate sub-results, under intermediate result (IR) 1.1, "sustained increases in agricultural and natural resources production:" IR 1.1.3, "natural resources commodities identified," and IR 1.1.4, "sustainable agriculture and natural resources products identified and tested."

Subject to the availability of funds, USAID anticipates awarding one cooperative agreement as a result of this RFA, and intends to provide approximately \$7.5 million in USAID funding for a five-year period. No further funding is anticipated. The resulting award will be incrementally funded at approximately \$1.5 million per year, subject to the availability of funds.

This RFA consists of this cover letter and the following:

1. **Section I** – Instructions to Applicants and Application Format;
2. **Section II** - Selection Criteria;
3. **Section III** – Program Description
4. **Section IV** - Applicable Policies and Regulations, and U.S. Non-governmental Recipient Cooperative Agreement Format
5. **Section V** - Certifications and Statements of Applicant;
6. **Section VI** - Standard Form 424, 424A, and instructions.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value to the US Government in accordance with Selection Criteria in Section II.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Selection Criteria;
- (b) Application Format;
- (c) This Cover Letter.

Any questions concerning this RFA should be submitted in writing no later than 14 business days before the closing date to USAID/Gaborone, via facsimile at (267)324 486 or email at [blumande@usaid.gov](mailto:blumande@usaid.gov). If it is determined that the answer to any question(s) is of sufficient importance to warrant modification to all prospective applicants, this RFA will be amended to provide such question(s) and answer(s). Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Karin Kolstrom  
Agreement Officer  
USAID/RCSA/GABORONE

# SECTION I

## APPLICATION FORMAT

### 1. General Instructions

#### a. Introduction

“Applications,” as referred to herein, are responses to this Request for Applications (RFA), and are a presentation by an Applicant of its organization’s institutional capability, experience, technical competence, personnel, management capability, institutional commitment and the readiness it can and will bring to bear on the proposed program. Detailed instructions on how to prepare an application are presented in section II of this RFA. Failure to comply with any or all of the instructions may result in disqualification. Applicants must set forth complete and accurate information as required by this RFA; the penalty for making false statements in applications to the U.S. Government is prescribed in 18 United States Code (U.S.C.) 1001. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application

#### b. Application Process

This is a competitive process, and award will be made to the application that represents the best value to the US Government, and promises to make the greatest impact on rural incomes, improved food security, and biodiversity conservation . Applicants should focus on achieving results and carrying out the activities described in this RFA, as elaborated in its attachments, and shall follow the application format set forth in section I of this RFA. Applications will be evaluated in accordance with the evaluation criteria are set forth in section II of this RFA. Any prospective applicant desiring an explanation or an interpretation of this RFA must request it in writing no later than fourteen (14) days before the submission deadline. Oral explanations or instructions given before award of an Agreement will not be binding. Written inquiries may be faxed to the attention of the Agreement Officer, listing RFA number 690-00-007, to the following fax number: (267)324 486, or sent by email to Ms. Beatrice Lumande at [blumande@usaid.gov](mailto:blumande@usaid.gov). Answers or clarifications provided which would benefit all applicants will be issued as an amendment(s) to this RFA and posted to the USAID Intranet site. Applicants shall acknowledge receipt of any amendment to this RFA by including signed copies in the submitted application.

Applications will be evaluated within 90 days of the due date. USAID may conduct negotiations with or request clarifications from applicants if needed, but reserves the right to make award without discussions. Applicants being considered for award may be requested to modify and resubmit portions of their applications, and should do so in a timely manner. Unsuccessful applicants will be notified after award is made.

#### c. Application Deadline

Applicants are to send the cost proposals to the Regional Contracting Office in Gaborone, Botswana, and the technical proposals to the Cognizant Technical Officer, SO1, in Lusaka, Zambia. Addresses for each location are provided below.

Applications must be received in Lusaka and Gaborone no later than **August 31, 2000**, 4:30 pm local time, and must be considered valid for a period of 90 days from the closing date. Late applications will not be accepted. Applicants shall submit no more than one original and two (2) copies of each application. Offerors are advised that a minimum of 5 business days should be allowed for proposals sent by courier. A minimum of 3 weeks should be allowed for proposals sent through the Washington, D.C. State Department address. Facsimile applications will not be accepted.

**Cost Proposal: Hand Delivery and/or Via Courier**

Regional Contracting Office  
USAID Regional Center for Southern Africa  
Plot 14818 Lebatlane Rd, Extension 6  
Gaborone West  
Gaborone, Botswana (Tel. 267 324 449)

**Cost Proposal: State Department Address (U.S. Mail)**

Regional Contracting Office  
USAID/Gaborone  
Department of State  
2170 Gaborone Pl  
Washington, DC 20521-2170

**Technical Proposal: Hand Delivery and/or Via Courier**

Ms. Helen Gunther, SO1  
USAID Mission  
351 Independence Avenue  
Lusaka, Zambia  
Tel (260) 1 254 303

**Technical Proposal: State Department Address (U.S. Mail)**

Ms. Helen Gunther, SO1  
USAID/Lusaka  
Department of State  
2310 Lusaka Pl  
Washington, DC 20521-2310

**2. Instructions - Technical Application**

A. Overview

This RFA is designed to solicit applications for a results-oriented cooperative agreement (ref: “Results Oriented Assistance: A USAID Sourcebook ,“ which can be found at <http://www.amatech.com/usgov/>. ) The program description found in Section III of this RFA describes the context of this program, past activities and lessons learned, the “development challenges,” and the results to be achieved, but otherwise does not prescribe an implementation plan. Some activities are suggested, but are framed in terms of the results to be achieved by their implementation. The applicant shall propose activities that directly contribute to achieving the intermediate results. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

B. Format

The technical application shall be submitted in a separate volume from the cost application, and shall be organized into the following sections, separated by tabs.

1. Program Description

Identify the approach to improving food security, rural incomes and natural resource conservation in protected areas surrounding the Kafue National Park. Address the intermediate results, and methods of achieving them, the resources and steps required to meet them in an identifiable period of time, and benchmark measures of progress towards their achievement. Please refer to Section 2 of the program description and address the results defined in sections 2.2, 2.3, and 2.4. Include a workplan for the first year of cooperative agreement implementation.

(Note: This section of the application will be incorporated into the resulting cooperative agreement as the program description. Please provide a virus free copy in MS Word 97 format on a 3.5” diskette. Include tables and annexes, if applicable, in Excel.)

## 2. Monitoring and Evaluation Plan/Performance Measures

Applicants are requested to propose performance measures in line with SO 1’s Results Framework (RF) to accompany their proposed program results. See section 2.4 of the program description.

(Note: This section of the application will be incorporated into the resulting cooperative agreement as the monitoring and evaluation plan. Please provide a virus free copy in MS Word 97 format on a 3.5” diskette. Include tables and annexes, if applicable, in Excel.)

## 3. Personnel

Applicants shall provide summary job descriptions for professional staff, and indicate which positions are key to the success of the program. Identify a maximum of four (4) key personnel (*those whose participation in the proposed activities is considered essential*) by name and position. Submit Curriculum Vitae (CVs) for each proposed key individual. Include a staffing pattern of other individuals proposed by name, title, function, duration and location of assignment, and organization. It should be noted that the overall mix of personnel will be evaluated.

## 4. Organizational Structure/Management Plan

USAID encourages respondents to this RFA to identify collaborating partners within Zambia or outside Zambia that can assure effective and efficient achievement of the identified results. Collaboration structures can be formal using teams comprised of subawardees or other formal mechanisms. Collaboration structures can also be informal. As the RFA asks for agencies to commit to and deliver results, it is the applicant’s responsibility to identify partners, define the partnering relationship, and implement the partnership effectively. Provide a description and matrix of how the applicant and any subrecipients and partners will work together to achieve the results. Include a description of agreements reached with local NGO(s) implementing partners, and a detailed community mobilization strategy and methodology, if applicable. If the applicant is a consortium, the roles and relationships of the parties shall be detailed in this section.

## 5. Management Capability of Applicant /Past Performance

Provide a concise summary of the organizational qualifications of the applicant and all subrecipients and funded partners. Include a description of present and on-going programs that have a direct relationship to the program description to be supported by USAID as presented in the application. Include a description of relevant collaborative efforts each organization has undertaken jointly or in coordination with other institutions with a focus on less developed country organizations. Provide a matrix as an attachment that provides past performance information, listing any and all contracts and assistance awards received in the last three years. In addition, provide a description of any publications or reports generated by the applicant, subrecipient, or funded partners, that demonstrate special qualifications and experience that relates directly to the proposed Results Package.

The matrix shall include:

1. Name and address of the organization for which the work was performed;
2. Current telephone number of the responsible representative of the organization for which the work was performed;
3. Contract name and number (if any), annual amount received for each of the last three years, and beginning and ending dates; and
4. Description of the project.

## 4. Instructions - Cost Application

### A. Overview

The cost proposal is the financial expression of the program description, and will be evaluated in terms of cost reasonableness for the activities proposed. Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the assistance program and are in accordance with applicable cost principles (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be reimbursed under the cooperative agreement. \$ 7.5 million is available for funding over a five (5) year period. Applicants that submit proposals in excess of this amount will be rejected without consideration, regardless of technical merit, as additional funds will not be made available.

### B. Format

The cost proposal shall be included in a separate volume from the technical proposal, and shall be organized in the following sections, separated by numbered tabs.

#### 1. Standard Form (SF) 424

Include signed copies of the SF-424 and SF 424A in this section for the applicant and all sub-awardees.

#### 2. Financial Plan/Budget

Provide a detailed breakdown of the budget categories set forth in SF 424A, supported by detailed elements of cost and narrative explanations. All budget items must be broken out by program year. List all proposed personnel and positions, duration of assignment for each, and proposed salaries or wages including annual increases. Include all costs associated with travel and transportation, including the number of proposed trips, and allowances and benefits for long-term expatriate staff, if applicable. Itemize anticipated supplies and equipment to be purchased, as well as ancillary expenses necessary for project implementation, and provide information supporting reasonability of cost. Include and explain basis for costs of any elements not mentioned above. Separate subawardee budgets with tabs.

**\*\*Please note that cost sharing contributions are not required under this RFA and therefore will not be evaluated. If an applicant chooses to propose cost sharing, please detail in this section the value and type of cost sharing. No additional value will be given to proposals that contain cost sharing.**

#### 3. Indirect Costs/Fringe Benefit Information

- a) **Fringe Benefits:** Provide most recent audited fringe benefit rates for the applicant and all subawardees, if available. If no Negotiated Indirect Cost Rate Agreement (NICRA) or audited fringe rate exists for an organization, the applicant must provide enough information for the Agreement Officer to determine the rate reasonable, such as fringe benefit calculations showing how the rate is derived and what the rate includes. Include information on workday, workweek, and paid absences in this section.
- b) **Indirect Costs:** Provide most recent NICRA or documentation from the Offeror's cognizant U.S. Government Audit Agency showing the current provisional rates, bases, applicable periods, and the Offeror's fiscal year. The offeror shall also provide the name and address of the cognizant U.S. Government Audit Agency, and the name and telephone number of the cognizant auditor, if other than USAID. If no audited indirect cost rate exists for an organization, the applicant must provide sufficient supporting documentation for the rate(s) so that the Agreement Officer can determine reasonability. Such information would include audited balance sheets for the previous three years, and a provisional indirect cost rate set in accordance with the methods prescribed by Office of Management and Budget (OMB) circular A-122 or A-21, whichever is applicable, and the "Guidelines for Audits Conducted by Foreign Recipients," if applicable. Separate subaward documentation in this section with tabs.

4. Representations and Statements of Applicant

Include in this section signed copies of the representations and statements set forth in Section V of this RFA. Separate subaward documentation in this section with tabs.

5. Responsibility Information

Applicants shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should be substantive in nature, list specific examples of achievements and strengths, and substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
2. Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. In the absence of evidence to the contrary of circumstances properly beyond the control of the applicant, applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of nonresponsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of applicants using information on past programs provided.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy. Applicants in this category should also submit a copy of their personnel, travel, procurement, and property management manuals.

# SECTION II

## SELECTION CRITERIA

### 1. GENERAL INSTRUCTIONS

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The technical and cost applications will be evaluated in accordance with the Evaluation Criteria set forth below

### 2. TECHNICAL EVALUATION CRITERIA

Technical Applications will be evaluated according to the following criteria. The relative importance of each criterion is indicated by the number of points assigned; a total of **100** points is possible. Applicants should note that these criteria serve to: (a) identify the significant subjects which Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

	<u>Points</u>
<b>1. Responsiveness and Technical Quality of Proposal</b>	<b>35</b>
How well does the proposal describe an understandable and compelling approach to improving food security, rural incomes and natural resource conservation in protected areas surrounding the Kafue National Park. What partnerships are proposed? What lessons learned will be applied? What national level presence will improve natural resource management governance and civil society participation in wildlife policy making? Quality of program description, first-year annual workplan, monitoring and evaluation plan, implementation schedule, and administrative structure will also be evaluated under this criterion.	
<b>2. Personnel Qualifications and Experience</b>	<b>30</b>
Relevant work experience and training of proposed long term and short term staff; Evidence of prior successful experience addressing wildlife management, natural resource conservation, community capacity building, food insecurity, and poverty issues in Africa or countries with conditions similar to Africa. Experience working with commercial interests in achieving project objectives.	
<b>3. Institutional Qualifications and Capabilities</b>	<b>10</b>
Demonstrated project management experience; appropriate facilities, equipment and administrative support; positive experience with similar USAID and other donor contracts; demonstrated ability to monitor project impact, adapt project management when necessary, and deliver results; ability to provide and retain highly qualified key personnel and short-term specialists	
<b>4. Past Performance</b> (Offerors lacking relevant past performance history shall be given a neutral past performance rating)	<b>25</b>

The applicant's past performance on similar programs; applicant's experience in

(Zambia); demonstrated capability and capacity to plan, implement and support complex programs and the range of activities outlined in the Implementation Plan; ability to collaborate with other organizations; knowledge of USAID implementation and procurement regulations and practices; ability to disseminate that knowledge and help other organizations to comply with those regulations and practices; ability to monitor and evaluate program implementation, results and impact; ability to monitor the evolving conditions of vulnerable communities, to analyze the information collected, and to recommend programmatic changes based on that information and analysis; clear organizational structure and relationships; ability to provide and support personnel and field operations; ability to meet USAID reporting and accountability requirements; and ability to staff and start program activities rapidly.

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**100**  
=====

TOTAL

### **3. COST EVALUATION CRITERIA**

While there are no assigned points for the cost evaluation criteria, the review of the cost proposal shall entail cost realism analysis. This will consist of a review of the cost portion of an applicant's application to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect the Applicant's understanding of the requirements, and if the costs are consistent with the technical application. Applications that do not meet these criteria may risk not being considered for award. In the event that the top proposals are equally or closely ranked technically, the proposal with the most realistic costs, as per the criteria listed below, will be awarded the cooperative agreement on the basis that a best value decision is being made.

The cost realism analyses is intended to meet the following three goals:

- (1) verify the Applicant's understanding of the requirements and regulations;
- (2) assess the degree to which the cost proposal reflects the approaches in the technical application; and,
- (3) assess the degree to which the cost included in the cost proposal accurately represents the work effort included in the technical application.

\*\*Please note that cost sharing contributions are not required under this RFA and therefore will not be evaluated. No additional value will be given to proposals that contain cost sharing.

**END OF SECTION II**

**SECTION III**

**PROGRAM DESCRIPTION**

**FOR**

**COMMUNITY BASED NATURAL RESOURCE MANAGEMENT**

**COOPERATIVE AGREEMENT**

**FROM USAID/ZAMBIA SO 1:**

**INCREASED RURAL INCOMES OF SELECTED AREAS**

## ACRONYMS USED IN THIS PROGRAM DESCRIPTION

ADMADE.....Administrative Management Design for Game Management Areas

CBNRM.....Community Based Natural Resource Management

CLUSA .....Cooperative League of the USA

CRB.....Community Resource Board

ECZ.....Environmental Council of Zambia

GMA.....Game Management Area

GRZ.....Government of the Republic of Zambia

KNP.....Kafue National Park

MENR.....Ministry of the Environment and Natural Resources

NPWS.....Department of National Parks and Wildlife Services

PRA .....Participatory Rural Assessment

RMC.....Resources Management Committee

USAID.....United States Agency for International Development

WCRF.....Wildlife Conservation Revolving Fund

WMA .....Wildlife Management Authorities

WMSA.....Wildlife Management Sub-Authorities

VAG.....Village Action Group

ZAWA .....Zambian Wildlife Authority

# **1 BACKGROUND**

## **1.1 THE DEVELOPMENT CHALLENGE & DEVELOPMENT HYPOTHESIS**

### **1.1.1 The Development Context: Background Information on Zambia**

Zambia is located in the heart of southern Africa. It is a sparsely populated country uniquely shaped by water. Site of the world famous Victoria Falls, Zambia is watered by three great rivers and bordered by three massive lakes. Zambia is a large country (750 million hectares) with a relatively low population of 10 million people. The majority of Zambians live in urban areas and many of Zambia's rural areas have population densities below 5 people per square kilometer. Zambia's moderate topography generally lies between 900 and 1500 meters, with a relatively good rainfall, ranging from less than 700 mm in the south to more than 1500 mm in the north.

Zambia is home to an incredible diversity of wildlife. Its extensive protected wildlife conservation areas fall into three categories: National Parks, Game Management Areas (GMAs), and Bird Sanctuaries. Protected areas cover nearly 30% of the country. Most of Zambia's 19 national parks are surrounded by or adjacent to 33 GMAs. Hunting and human habitation are allowed in GMAs. To a degree they are also regulated. In principle GMAs provide a buffer for the National Parks, allowing safari hunters and communities to share in the benefits of hunting, while discouraging hunting in the National Parks.

Zambia's large expanse of protected areas is both a blessing and a challenge. They are a blessing in that they provide an opportunity to conserve Zambia's enormous national heritage. They are a challenge because Zambia does not currently have adequate resources and institutions with which to manage and benefit from this fantastic natural endowment.

The depletion rate of Zambia's wildlife population is alarming. USAID's 1997 Environmental Threats Assessment noted that in 14 out of 19 national parks the populations of principal species are either depleted or declining dramatically. The situation is no better in GMAs. Due to inadequate data on wildlife populations, there seems to be evidence that hunting quotas allocated by the Zambia Wildlife Authority (ZAWA, formerly the National Parks and Wildlife Service) often exceed sustainable levels. Zambia's GMAs are also hammered by uncontrolled poaching which further depletes wildlife. In addition to these direct threats, habitat destruction is accelerating due to deforestation and slash and burn agriculture.

With Victoria Falls as a key attraction, Zambia has an opportunity to dramatically increase tourism revenues if parks and wildlife populations can be better managed. In 1981, Zambia attracted 146,000 tourists, who contributed over US\$47 million (1987) to the country's economy. Today, that figure stands at about 340,000 visitors and US\$85 million. In comparison, Zimbabwe, where parks are much better managed, attracts over 1 million tourists annually, contributing over US\$157 million to the economy. Given Zambia's natural beauty and diversity of wildlife, it is not unrealistic to expect a well-managed tourist sector to attract at least half as many visitors as Zimbabwe. This could raise Zambia's wildlife sector and associated tourist industry to over 10% of the country's GDP.

The forces of rural poverty, limited food production, and lack of economic opportunity drives much of the problem associated with protecting Zambia's wildlife. Ultimately, to improve the management of Zambia's natural resources, protected area communities must have a greater variety of economic options that provide them with adequate food and income. Without additional livelihood opportunities, they will be forced to put increasing pressure on the limited natural resources around them.

## 1.1.2 USAID/Zambia's Development Hypothesis

USAID/Zambia's work with community based natural resources management (CBNRM) takes place in pursuit of Strategic Objective 1: Increased rural incomes of selected groups. SO 1 is based on the premise that three key interventions (production, marketing, policy adjustments) can effectively fill the gap left when government gave up its role in rural markets. Appropriate production, marketing and policy adjustments can lower transactions costs, increase system efficiency, and raise rural incomes.

To date, USAID investments in privatization, business skill development, rural finance agricultural productivity, natural resources management, and trade policy have led to significant, if not broadly spread rural family income and food security increases. Zambian rural families, working together as groups to improve their incomes, are SO 1's ultimate customers. Secondary customers include government ministries, businesses and business associations and other non-government agencies.

Based on lessons learned from Zambia's decade long experience in CBNRM, USAID has developed the following hypothesis to guide future investments in protected natural resource areas:

Investments that address problems identified by a protected area community through appropriate rural appraisal techniques can strengthen that community's capacity to conserve, manage and benefit from natural resources.

Experience in Zambia and elsewhere identifies rural family poverty and food insecurity as two major reasons for "illegal" hunting. Other findings indicate that "learning by doing" is a good way to develop a community's capacity to manage natural resources. Zambia has been experimenting with several approaches to community wildlife management with varying degrees of success. Although there is no single model that can be said to be entirely effective and broadly replicable, an important premise that has been confirmed is that communities will not conserve any natural resource if they do not derive tangible benefits from natural resources management. This is certainly true of activities conducted in ADMADE1, SLAMU2, KANTIPO3, Lower Zambezi, and Kasanka Trust areas.

Previous experiments in developing protected area community management capacity in Zambia focused on community management of finance generated by tourist lodges or safari hunting. However, resources generated by tourism and safari hunting rarely reached community institutions in a form or a predictable manner that allowed the community's experience based development of management capacity. On the other hand, USAID/Zambia and others have extensive successful experience in developing community capacity to manage food security and group business interventions. These models employ formal processes that elicit the needs and aspirations of the rural communities, structure community managed investments to satisfy those needs and aspirations, and build community-private sector partnerships that enhance the value of rural family contributions.

The above hypothesis posits that by addressing the needs and aspirations of rural families external investment can develop community capacity to sustainably benefit from and manage wildlife and other natural resources. The result will be improved rural family living standards, improved natural resource management, and natural resource conservation.

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1 Administrative Management Design Project, which received USAID support from 1989 through 1999, see page 22.

2 South Luangwa Area Management Project, formerly the Luangwa Integrated Resource Development Project (LIRD)

3 Kafue Anti-poaching Organization, see page 16.

Given the fact that protected area communities devote most of their time to agriculture, agricultural activities that increase production through intensification offer one important way of improving food security and, in principal, reducing protected community incentives to degrade natural resources. Other activities that result in increases in rural incomes and poverty reduction may also lead to greater natural resource conservation. USAID seeks to build on its investments in group business skill development, village managed agricultural extension and technology dissemination, and private sector development by bringing new opportunities to rural areas, and providing communities with the management and governance skills required to improve their lives.

## **1.2 CHALLENGES IN THE NRM SECTOR IN ZAMBIA**

### **1.2.1 Priorities and Policies**

Although the Government of Zambia has identified tourism as its second economic growth priority (after agriculture) the environment sector has trouble attracting scarce government resources. Wildlife and conservation issues, environmental threats and natural resource management opportunities are often not appreciated, perhaps due to a general lack of knowledge of their importance for the Zambian economy. Leaders often fail to realize the economic potential and basic logic of environmental conservation. This reduces political and financial support for sustainable natural resources management. Government has also made policy and legislative commitments to increasing community ownership and management of forest and wildlife management. Whether these commitments will hold sway as government agencies seek to collect fees for their own institutional operations and expansion is a real question.

### **1.2.2 Root Causes of Environmental Problems**

USAID's 1997 biodiversity threats assessment identified the following six root causes for Zambia's environmental problems:

- 1) Limited alternative livelihoods encourage unsustainable resource use by protected area families.
- 2) The institutional framework constrains effective management across sectors.
- 3) Weak government and non-government institutions are unable to regulate or facilitate resource conservation.
- 4) Weak community institutions are unable to elucidate rural family aspirations, lobby for greater local community control, or sustainably manage natural resources.
- 5) Policy makers don't realize the importance of wildlife conservation in Zambia's economic future.
- 6) There is an inappropriate legal and regulatory framework.

With a specific reference to the Kafue National Park, at which this assistance request is targeted geographically, ADMADE reporting had this to say about environmental threats:

“In general the Kafue area has greater threats from urban populations because of the proximity to large growing urban centers and to road networks linked to those urban areas. As a result, external pressures by criminal wildlife use will be relatively high. If ADMADE is to succeed, this will necessitate Community Resource Boards to be well organized and well trained to motivate public support for ADMADE and to be willing to commit the level of funding necessary to ensure community based policing is effective. It will also likely require ZAWA to provide communities with a larger financial return on the legal production of wildlife than is currently the case with 62.5% of animal license fees taxed and withheld from ADMADE communities. It will certainly require quick disbursements of funds to the Community Resource Boards and an accountable management of these funds based on well developed wildlife management budgets.”

This quote is meant to identify potential problems in implementing this recipient program in GMAs surrounding Kafue and in no way indicates USAID's endorsement or non-endorsement of the approaches outlined.

In addition, the USAID-funded ADMADE Sustainability Project also generated the following empirically based description of GMA community incentives in natural resource management:

“Eight Village Action Groups (VAG) communities representing four different Community Resource Boards were surveyed using PRA and formal questionnaire techniques to assess economic profiles and resident households. The Project also undertook a detailed demographic survey of all ADMADE areas in the project area to produce a detailed description of family size, age distribution and total population size. Comparable survey for the Kafue area was delayed because of conflicting priorities with other Project activities, namely CRB elections and training of CRB leaders. However, the Kafue area baseline survey is proceeding.

Some of the key insights gained from the Luangwa survey included the following:

- The valley population is strongly skewed toward “below 8 year olds” and is likely to grow at a high growth rate over the next couple decades.
- Approximately 50% of the households interviewed experience some form of food shortage by December.
- For most VAGs less than 5% use fertilizer or have access to it for producing food crops though 44% gave lack of fertilizer as the primary reason for poor yields.
- When food runs out 44% interviewed said they bartered to obtain food to feed their families. Game meat is one commodity commonly used to barter for food since the majority of households have no direct source of income.

### **1.2.3 Institutional Strengths and Weakness**

Many of Zambia’s key natural resource management weaknesses stem from the mix of public institutions involved and the difficulty this poses for cross sector management. Currently government ministries involved with natural resource management include Ministries for Agriculture, Food and Fisheries; Lands; Environment and Natural Resources; Mines; Energy and Water Development; and Tourism. Zambia also hosts an autonomous Zambian Wildlife Authority (ZAWA) and the Environmental Council. An ineffective institutional framework is one important cause of faulty natural areas and wildlife resources management. Problems resulting from an inappropriate institutional framework are exacerbated by material and technical weaknesses within each of the various ministries.

To achieve better resource management the Ministry of Agriculture, Food and Fisheries (MAFF) has been pursuing productive partnerships with commercial and non-governmental agencies. Ideally these partnerships would lead to complementary resource and capacity investments that maximize rural income increases and conserve natural resources. However, coordinating private - public agency activities is every bit as challenging as coordinating public agency activities and investments. To achieve better coordination agricultural sector stakeholders formed the Agricultural Consultative Forum (ACF). USAID/Zambia in conjunction with the Norwegian and Dutch Embassies have a grant arrangement with ACF that is focused on institutional development. Though a relatively young institution, the ACF seems to offer one model for improving public-private-donor agency coordination of investments and activities.

The Ministry of Tourism, through National Parks and Wildlife Services (recently transformed into ZAWA), has been working with professional hunters, lodge and tour operators and the Tourism Council to set wildlife quotas and administer the sharing of wildlife revenues with communities. However, outstanding institutional problems include inefficient management of the hunting and lodge concession process, problems with renewal of operator licenses, problems with issuance of special hunting licenses, inadequate funding flows to protected area communities, and weak policy coordination at Ministry of Tourism.

In the wildlife sector, an example of coordination can be found in Kafue National Park. Lodge owners and safari interests wishing to combat illegal hunting in the Kafue National Park and its surrounding GMAs initiated KANTIPO. It works closely on anti-poaching activities with government game scouts, implements limited development interventions with communities around the park, and is a source of information and expertise on current and developing environmental issues. It has received financing from the Netherlands Embassy and the Embassy of Japan.

The initial success of KANTIPO notwithstanding, Zambia could be described as being relatively devoid of dynamic civil society structures within the natural resources and wildlife sectors. NGOs working in Zambia include the Wildlife Conservation Society, the Environment Conservation Association of Zambia, and others. While there is a small group of NGOs working in protected areas, there is currently no real NGO presence on the national level with the exception of a small IUCN office and the World Wide Fund for Nature (WWF). Consequently policy and institutional reforms formulated in the capital are not subject to systematic review from an independent environmental lobby. Positive developments in NRM and conservation in Zambia will require an enlarged and better organized presence of private and not-for-profit agencies who can effectively influence government and other investors on policy, technical and implementation issues.

#### **1.2.4 A New Wildlife Authority**

In 1998 the Zambia Wildlife Act updated national legislation controlling the use and management of the country's National Parks and GMAs. This bill established a new legal entity, the Zambia Wildlife Authority (ZAWA). ZAWA is described as an autonomous wildlife and habitat management institution. This parastatal will fall under the tourism portfolio, but represents various interests: private sector, lands, environment, communities, etc. Up until November 1999 when ZAWA was launched, the Ministry of Tourism's Department of National Parks and Wildlife Service (NPWS) was responsible for wildlife management. ZAWA now has this mandate. A major institutional issue is how ZAWA and the Ministry of Environment and Natural Resource's Forest Department will work together on habitat management.

As a result of the 1998 Wildlife Bill, ZAWA was mandated to:

- Control and manage national parks for the conservation and enhancement of wildlife ecosystems and biodiversity, while promoting opportunities for the equitable and sustainable use of the special qualities of National Parks (NPs);
- Provide for the sustainable use of wildlife and management of wildlife habitat in GMAs;
- Enhance the economic and social well-being of local communities within the GMAs;
- Involve local communities in the management of GMAs;
- Develop and implement NP and GMA management plans; and
- Regulate game ranching and hunting.

As ZAWA was only "launched" in November 1999 it is still in the process of developing administrative structures for implementing wildlife policy, national park management, and protected area community development. As with any fledgling institution the future of ZAWA is uncertain. ZAWA's start up faces staffing, financing, infrastructure, mandate, span of control, financing, and policy challenges. It has been slow in getting organized. ZAWA has set a September 2000 deadline for getting permanent senior management in place. Targets for meeting the other challenges listed are not available at this time.

The Wildlife Act established Community Resources Boards (CRB) as a way to formally involve GMA communities in the development and implementation of GMA management plans. CRB's will be legal entities, authorized to manage local resources, handle grants, and distribute funds. These Boards are authorized, in conjunction with ZAWA, to negotiate agreements with hunting and tourism companies, manage wildlife within quotas set by ZAWA, appoint village scouts to work under wildlife police, and distribute revenues to the local community.

ZAWA leadership recently described CRBs as central to ZAWA's wildlife management strategy. ZAWA's intention is to devolve GMA management over time to CRBs and communities. It is currently planned that ZAWA will have a GMA Directorate with a projected 5-year life span. The Directorate's main responsibility will be to coordinate community focused activities. The Directorate will provide capacity building services to CRBs and GMA communities via existing projects and NGOs. While the brief vision of CRBs and the GMA Directorate seems relatively clear, given ZAWA's newness, one can expect it might change.

The Environment Council of Zambia (ECZ) was established within the MENR to coordinate activities of all the ministries concerned with the environment. As part of its mandate, the ECZ is responsible for policy formulation, environmental monitoring, development of environmental standards and regulations and identification of projects requiring Environmental Impact Assessments. Recently it appears that ZAWA has agreed to allow the ECZ's Wildlife Resource Monitoring Unit to provide wildlife estate monitoring and oversight as a cross check on ZAWA's performance.

### **1.3 NRM UNDER USAID/ZAMBIA'S STRATEGIC OBJECTIVE 1**

#### **1.3.2 Strategic Objective 1: Increased Rural Incomes of Selected Groups**

Zambia's rural productive and commercial sector is still adjusting to the free-market environment created by sweeping macroeconomic and sectoral reforms. While markets have been rationalized and the government's role in the economy dramatically curtailed, much of the rural sector – including both farm and non-farm enterprises – has yet to adjust to or fully exploit opportunities created by liberalization. The result is unexploited income and employment opportunities, underutilized human resources, and low levels of rural sector economic growth, productivity and income. The next step for USAID in the economic reform process will be to better equip rural producers and entrepreneurs to reap the benefits of liberalization. An effective rural family response to free market opportunities should catalyze broad-based production, income and employment growth with significant positive multiplier effects for the national economy as a whole. SO1 requires that the production, productivity, and the economic environment be addressed simultaneously, for both farm and rural non-farm enterprises. Increased adoption of effective NRM practices is necessary to ensure that gains in agricultural growth are not at the cost of Zambia's long-term soil and other natural resource estate.

According to USAID/Zambia's 1998-2002 Country Strategic Plan "Promises to Keep: From Reforms to Benefits for Zambians", USAID/Zambia has designed a cross-sectoral approach that links consolidation of the agricultural market reforms with private enterprise development to bring about sustainable increases in rural incomes. Considering the large portion of Zambia's rural population living in and around GMAs, and the multiplier economic growth potential of tourism and related industries, community based wildlife management constitutes a key component in this approach. The USAID Mission's Strategic Plan's rural income focus in Strategic Objective 1 (SO 1) seeks to support projects that address problems identified by rural families (SO 1: Increased rural incomes of selected groups). SO 1 activities also involve women to enhance their contribution to rural economic growth, develop rural family and private sector partnerships, and focus on developing appropriate "second generation" policies and regulations. Potential applicants can access more information on SO 1 at <http://www.info.usaid.gov/zm> (or <http://www.usaid.gov/zm> in mid/late July 2000.)

#### **1.3.3 SO 1 Intermediate Results**

Achievement of the Strategic Objective will require enhancing trade and investment policies and focusing assistance on increasing the availability, affordability and quality of technologies, inputs, and services needed to make farmers and rural enterprises more efficient and productive. It will also require encouraging rural family access to profitable markets for a growing quantity and variety of farm and natural resource products. Activities undertaken to achieve the Strategic Objective will result in increases in the following:

- Rural family incomes;
- Number of farmers adopting improved cultivation technologies, including increased use of improved crop varieties, conservation farming, and agroforestry;
- Number of farmers who increase their incomes through improved linkages to input markets and group output marketing, training, extension and credit services;
- Average value of agricultural and natural resource products marketed, while the average cost to the rural family for essential inputs decreases;
- Number of new micro-finance loans, total value of loans disbursed to rural non-farm enterprises and the number of rural inhabitants opening savings accounts;
- Number of new markets for rural products and new rural non-farm enterprises;
- Increased support institutions membership of rural business and marketing groups;

- Increased value, volume and variety of non-traditional exports .

### **Strategic Objective 1: Increased rural Incomes of Selected Groups**

USAID/Zambia in consultation with its partners has identified three Intermediate Results (IRs) that will lead to increased rural incomes of selected groups. Each intermediate result will contribute to the achievement of the Strategic Objective. The IRs will focus on increasing rural production and improving Zambia’s investment environment.

#### Intermediate Result 1.1: Increased Agriculture and natural Resources Production

IR 1.1.1: Improved Low Rainfall Production

IR 1.1.2: Improved Factor Productivity on Farms

IR 1.1.3: Natural Resources Commodities Identified

IR 1.1.4: Sustainable Agriculture and Natural Resources Practices Identified and Tested

In support of this intermediate result, supported activities will help achieve the following results:

- Increased land and labor productivity, and
- Increased number of farmers of selected groups adopting improved technologies.

Two indicators that will be used to measure progress toward achieving these results are:

- The estimated value of increased production; and
- The number of farmers in selected groups adopting improved technologies disaggregated by gender.

#### Intermediate Result 1.2: Increased Contribution of Rural Non-Farm Enterprises to Private Sector Growth

IR 1.2.1: Increased Rural Non-Farm Enterprise Access to Finance and Markets

IR 1.2.2: Increased Rural Non-Farm Enterprise Skills

IR 1.2.3: Increased Rural Non-Farm Enterprise Support Institutions

In support of this intermediate result, the supported activities will help achieve the following results:

- Increased RNFE sales and service revenue;
- Increased access to finance; and
- Increased number of clients/members of institutions that support RNFE members.

Three indicators that will be used to measure progress toward achieving these results are:

- Value of commodities or services sold by assisted groups;
- Value of loans disbursed and repaid; and

Number of clients/members of institutions that support RNFE members will measure SO1 outreach and influence.

### Intermediate Result 1.3: Improved Trade and Investment Environment

IR1.3.1: Increased National Trade and Investment Policies, Legislation and Regulations Developed, Approved and Implemented

IR 1.3.2: Reduced Cost of commercial Contract Conformity

IR 1.3.3: Reduced state Involvement in the Economy

In support of this intermediate result, supported activities will help achieve the following result:

- An increase in the annual value of non-traditional agricultural and natural resources exports. Tourism services sold to non-Zambians (safari hunting, eco-tourism, and curios) will be regarded as natural resources exports.

Three indicators that will be used to measure progress toward achieving this result are:

- An increase in the value of non-traditional exports;
- The number of new and effective trade agreements signed; and
- An increase in the number of investment policies, legislation, and regulations developed, approved and implemented. Potential policies and regulations to be addressed would include: safeguard measures, phytosanitary regulations, streamlined tourism policies, legal regulatory and judicial framework, and specific harmonization with SADC, COMESA, and WTO.

#### **Definition and notes:**

1. A rural non-farm enterprise (RNFE) is any rural enterprise not directly engaged in agricultural production (cultivating, planting, weeding, etc). So, an RNFE can market inputs or outputs, process output, manage a pharmacy or grocery store, etc. Many times, rural non-farm enterprises will be group businesses managed by groups of farmers seeking to enhance their incomes emanating from agricultural production activities.
2. USAID/Zambia's Country Strategic Plan for the 1998 – 2002 targets increased sustainable rural incomes as one of the four Mission objectives. This objective embodies USAID's desire to test commercial, market-based solutions to Zambian poverty and food insecurity. USAID investments to improve rural incomes complement private sector investments in agricultural trading and processing, tourism and natural resource product marketing. They result in services to rural families that build capacity: better skill in the business of farming; more knowledge producing and marketing new, high value crops; improved chances of accessing and using credit profitably; more effective approaches to earning income while conserving natural resources; better capacity to adapt food security solutions to local conditions. Projects are based on rural family aspirations and oriented to enhance women's contributions to rural economic growth. USAID investments also enhance Zambia's investment climate through development of open trade policies, financial system regulatory reform, and training and technical assistance to Zambia's public and private sector investment mobilization, business association and trade policy agencies.

### 1.3.4 Lessons Learned Relevant to SO 1's NRM Sub-Strategy

USAID implemented an evaluation for three of its SO 1 investments in April – May 2000. This was a final evaluation of the Regional Natural Resources Management (RNRM) Administrative Management Design (ADMADE) Project and mid-term evaluations of the CARE Livingstone Food Security Project and the CLUSA Rural Group Business Project.

The joint evaluation of these three activities generated lessons learned to improve the implementation of ongoing or future activities. The lessons are as follows:

- Rural families are capable of identifying needs and opportunities that external agencies can effectively address with an appropriate approach. Specifically, the CARE Livingstone Food Security Project has shown that families living in drought prone, food insecure and agriculturally marginal areas of southern Zambia can manage low rainfall, low input seed multiplication and distribution systems efficiently. As a result, CARE assisted families have increased their food production and incomes, many times tripling or quadrupling the amount of own produced food available after harvest. In addition, community structures that were developed to manage seed multiplication and distribution have proven effective in building dams, managing watersheds, and soliciting external assistance from government or commercial agencies.
- Profit seeking commercial firms will develop mutually beneficial linkages with rural families if an external agency can effectively train rural families in business and agricultural production skills that lower marketing costs, reduce rural finance risks and increase land and labor productivity. The CLUSA Rural Group Business project has shown that farmers will significantly change their husbandry techniques to incorporate conservation farming and cash crops if provided with adequate information and training, market outlets and market information, and ongoing technical assistance from village based extensionists. Farmer managed rural group businesses have also proven adept at selecting group members that are credit worthy; managing farmer to farmer agricultural extension systems; evaluating commercial “forward contracts” for agricultural commodities that identify time of delivery, quantity and price; and manage relations with agribusinesses in a mutually beneficial way. What has not been proven during CLUSA’s three-year life span is whether these activities can be sustained.
- Government agencies involved with agricultural or natural resources management are slow to recognize donor interventions in which they do not have a direct role or from which they receive direct benefits. However, government leaders do recognize interventions in agriculture and natural resources management if those interventions provide benefits to rural families. Also, government agencies are interested in better information and incorporating better information into policy development and implementation systems. Unfortunately, but understandably, government commitment to and understanding of community based natural resources management is not well developed.

Copies of the recent mid-term evaluations of CLUSA Rural Group Business Development Program, CARE Livingstone Food Security Project, and the final evaluation of the ADMADE Project can be downloaded at [www.info.usaid.gov/zm](http://www.info.usaid.gov/zm) (or <http://www.usaid.gov/zm> after mid/late July 2000.)

### 1.3.5 Synergy with other USAID/Zambia programs

USAID/Zambia seeks synergies with other aspects of SO1, as well as with other Mission SOs. Expansion of economic opportunities in rural areas should also support and integrate with SO 2: “More equitable access to quality basic education and learning, especially for girls”. And, wherever possible, proposed recipient programs should also support SO 3: “Increased use of integrated child and reproductive health and HIV/AIDS interventions”, and SO 4: “Expanded opportunity for effective participation in democratic governance.” SO 1 seeks opportunities to provide education and increase participation in democratic governance as related to the creation of effective CBNRM activities. Our goal is to create competent and accountable local-level institutions and individuals, so that communities will be able to organize themselves into more effective NRM units and lobby the government in favor of their interests. Ideally, community participation would be supported by an effective legal framework that limits central government control, while empowering local communities to protect and manage the resources on which they depend. Increasing grass roots capacity for CBNRM should be linked with SO 4’s efforts to expand participation in democratic governance.

### 1.4.2 ADMADE

#### 1.4.2.1 Background on ADMADE

Due to low incomes and inadequate food supplies, many rural communities depend on wildlife as both an important food source and a supplement to their incomes. To promote more profitable alternative uses for Zambia's abundant wildlife through tourism and big game hunting, the NPWS (now ZAWA) undertook a pilot project in 1984 to test ways of developing community leadership to support conservation. The results of this initial trial prompted the government to create the Administrative Management and Design (ADMADE) program in 1988.

Reflecting the broad objectives of CBNRM, ADMADE seeks a cost-effective way to maintain a balance between development and conservation by creating partnerships between government, private sector and the community. The ADMADE model intended to develop the community as a critical part of the wildlife management process. This would be accomplished by involving community members in wildlife policing, resource monitoring, and land use planning. In principle, ADMADE relies on democratically elected leadership working with traditional leadership to carry out these responsibilities. In return, it was intended that communities receive revenue shares from the various fees paid by tourist concessionaires and licensed hunters who harvest wildlife on their lands. In this way, communities would ideally manage their wildlife resources as a valuable economic benefit that would help improve local living standards.

The main institutional components of ADMADE were the Wildlife Conservation Revolving Fund (WCRF), the Nyamaluma Community-Based Wildlife Training Center, and the Wildlife Management Authorities (WMA) and Sub-Authorities (WMSA). The WCRF was responsible for the collection and disbursement of safari or tourist concession revenues for anti-poaching policing, WCRF administration, and community development. Anti-poaching and community development disbursements were to be accomplished through the WMAs at the GMA level and WMSAs at the individual community level. The WMAs were expected to maintain a management account and a development account; the first for wildlife management purposes and the second for community development. The Nyamaluma Training Center is the primary body responsible for capacity building within the ADMADE framework. The bulk of its efforts are directed toward village scout training and financial training. There has been indication that the new wildlife authority – ZAWA – will transform the WCRF into a financial directorate and that sub-authorities will cease to exist and that a GMA Directorate will be created to coordinate GMA development.

While ADMADE has been a significant attempt to increase wildlife within GMAs, and to provide benefits to local communities that increase conservation incentives, its success has been limited to specific areas in close proximity to the South Luangwa National Park. Nonetheless, reports from the area indicate inequitable increases in rural incomes, declining wildlife in most protected areas, continued habitat conversion to agriculture, and increased poaching. Limitations and weaknesses of ADMADE have been identified as:

- Lack of WCRF financial accountability and transparency;
- Inadequate and untimely WCRF funds disbursement to GMA communities;
- Ad hoc information on beneficiaries is inadequate information on the impact of ADMADE funds on community development;
- Inadequate incentives to ensure for accurate, regular data collection by village scouts;
- Inadequate wildlife monitoring;
- Inadequate community access and capacity to analyze and understand ADMADE generated data and information;
- Inadequate dissemination of CBNRM information and lessons learned within and between communities and to national organizations and stakeholders;
- Inadequate GMA community member control over the disbursement of revenues

Many of the above inadequacies have been experienced in other community wildlife management initiatives in southern Africa. In that way ADMADE's weaknesses are not unique. They are enumerated here to focus assistance providers on key areas that, if addressed directly or with innovative and effective alternative approaches, could move community wildlife management forward in Zambia.

In addition, there are some specific lessons learned documented by the ADMADE sustainability project and these are outlined below.

Regional Natural Resources Management Project (RNRMP) financing for support to ADMADE was initiated in August 1989. RNRMP/ADMAD was designed as a community-based wildlife conservation program in nine of Zambia's thirty-four GMAs. A total of \$4.8 million was invested in the project. USAID funding to ADMADE ended on December 31, 1999.

ADMAD and RNRMP pursued the following project purposes:

- To increase involvement of local communities and private interests in sustainable management and use of natural resources;
- To test the viability and replicability of community based natural resources management and use, and integrate programs into existing NPWS services;
- To demonstrate the effectiveness and legitimacy of community capacity building in wildlife management as a profitable and sustainable land use option in GMAs.

Outputs identified in RNRMP/ADMAD planning documents were:

- Improvement in the Ministry of Tourism policies related to private sector efforts in conservation and tourism;
- Improvements in the operations of the Wildlife Conservation Revolving Fund;
- Assistance to land use planning;
- Training in managing wildlife resources.

During the October 1, 1998 – December 31, 1999 USAID disbursed the last remaining RNRMP funding via a cooperative agreement with the Wildlife Conservation Society of the Bronx Zoo. The overall objective of the Cooperative Agreement<sup>4</sup> was to “articulate the rich lessons learned from almost 10 years of action research and adaptive management supported under the ADMAD program.” Many of the community wildlife management lessons learned described below are a result of this attempt to articulate what was learned during the 10 year ADMAD experience.

## 1.4.2 Lessons Learned in CBNRM

### 1.4.2.1 Alternative approaches to estimating wildlife population trends: a test of community-based management

One particular challenge for any CBNRM program is to determine the impact of community-based management decisions on wildlife populations. Accurate information on wildlife population trends and age structure is critical to maintain viable population sizes, while maximizing direct community benefits. Both aerial and ground wildlife surveys are problematic due to the vast, remote areas that need to be covered, limited personnel, and the high cost and questionable reliability of aerial surveys.

ADMAD has developed a community-based approach to collect data for setting quotas that is designed to help assure the sustainable use of wildlife resources on communal land. Data collection is done entirely by local residents trained as village game scouts. Formally trained local resource management committees then analyze the data.

ADMAD undertook a study to test the reliability of the various indicators in an attempt to validate the usefulness of indirect population indicators. No strong evidence was found in the study to reject the current population indicators, or to suggest they were not adequate for setting hunting quotas. According to the Annual Report:

“A low cost, community based methodology for monitoring wildlife populations was tested and verified as a reliable way for setting hunting quotas and determining population trends. With few exceptions, populations are generally improving in the Luangwa areas. However, exceptions underline serious concerns for how over-hunting may be impacting on certain species such as waterbuck, wildebeest, and hartebeest. These concerns relate to the lack of controls on hunting quotas, possible impact of trophy hunting on low-density species, and inadequate financial support to sustain effective village scout operations.”

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<sup>4</sup> As stated in the final report entitled “Annual Report for the ADMAD Sustainability Project: Communities Managing Wildlife to Raise Rural Living Standards and Conserve Biodiversity” (January 15, 2000)

The African College for CBNRM at Nyamaluma (previously known as Nyamaluma Training Institute) was established in 1990 to provide training to community leaders implementing ADMADE. The College, which matriculates about 700 community residents annually, provides 15 accredited courses that cover a range of skills considered critical to implementing CBNRM programs. The College supports a staff with expertise in extension training to help reinforce the use of classroom acquired skills. It also conducts year-round monitoring and research on ADMADE's results, which helps stakeholders improve the effectiveness of CBNRM.

Lessons from the College's training experience indicate the following key points:

- Increasing community awareness resulted in improved performance in most areas. However, community members were often unaware of the ADMADE leaders' roles and responsibilities, even after the leaders received formal training.
- Community leaders generally do not consult, even when consensus is desirable or when information needs to be shared. As a result, the sense of ownership in ADMADE initiatives is weakened.
- One of the difficulties of a national CBNRM training institute is supporting the diverse training and extension needs of communities throughout the country. In response to this problem, the African College has adopted an approach that broadens its geographic base by implementing pilot projects to field test ADMADE methods.
- Another critical problem that faces many decision-makers is the need to make management decisions through democratic and transparent processes when adequate technical information is lacking. There is no clear solution to this problem, except to assess the impact of management decisions through regular monitoring activities.

### 1.4.2.3 **The role of democracy in promoting conservation and rural development**

Leadership in rural communities in much of Zambia, particularly in GMAs, is generally focused around traditional rulers or local chiefs. This system of leadership is hierarchical and is based on the strong power-base of the chiefs, who are the customary landowners, and as such have considerable control over their subjects. The introduction of Zambia's CBNRM efforts required the initial support of local chiefs to encourage community involvement in the management of their resources. Chiefs therefore initially became Chairmen of the local Wildlife Management bodies, which were composed of people the chiefs selected.

Because a Chief's position is hereditary and essentially for life, Chiefs do not have to be accountable to their subjects nor win their confidence. ADMADE began its approach not knowing how this traditional system of governance would respond to the challenges of natural resource conservation or how effectively it would deliver monetary benefits from wildlife to the community. What ensued was a kaleidoscope of community experiences that revealed basic weaknesses with traditional systems of governance. More importantly, it revealed the tendency of people in leadership positions to be more concerned about their own needs rather than those of the community at large. As a result, only those people who could derive material benefit from ADMADE tended to show strong commitment to conservation. In contrast, the large number of households who saw no benefit were less supportive, consequently many of the serious land use conflicts that threatened wildlife and the tourism industry continued.

What became clear was that the leadership structure needed a more democratic process to allow community members to participate more directly in determining how household needs wildlife revenues should support. Through a consultative process, a structure was agreed upon that incorporated people's concerns. This structure was based on a democratically elected leadership, referred to as the Community Resource Board (CRB), which has since been formalized as the legal CBNRM governing body in the 1998 Wildlife Bill.

Lessons learned from ADMADE's brief experience in establishing CRB's include:

- People are more likely to contest and vote in CRB elections when politics are left out.
- Elected leaders are made more accountable when they reside in small communities.
- Making all community members aware of the CRB constitution reduces risks of poor leadership.
- Democratic elections encourage new leaders to be recognized.
- External review and facilitation of the CBNRM structure is crucial to building a foundation for democracy.
- Community needs assessment is an important tool for democratic leadership.
- The shift to democratic elections based on secret ballots encourages young leaders to contest and participate in CBNRM.
- Public meetings that are issue-oriented improve household participation in conservation and rural development.

- Public evaluation of CBNRM helps acknowledge mistakes and find solutions and furthers the democratic process.
- Chiefs may feel threatened by not having full control over their subjects and can work against the efforts of the CRB.
- Community leaders and members who do not receive the full economic value of their wildlife resources are unable and unwilling to support CBNRM fully.
- The granting of special licenses for wildlife offtakes are not transparent, undercut community revenue, and encourage community residents to engage in illegal hunting.

In conclusion, ADMADE has evolved into a fledgling form of rural democracy that promotes rural development by introducing new values and democratic mechanisms. Earlier program designs entrusted most of the leadership to traditional rulers or chiefs, and because their style of leadership lacked accountability and transparency, ADMADE decisions were frequently made without consultation with local households. Leadership training is key to increased local participation because elected leaders require skills to facilitate community dialogue and to apply consensus to meaningful ways that wildlife revenues can best meet the needs of the entire community.

#### **1.4.2.4 Improving food security to reduce illegal hunting of wildlife**

Poaching wildlife for home consumption and illegal sale is a common response to chronic poverty and seasonal food insecurity. Law enforcement, particularly in isolated rural areas, has been ineffective against poaching. ADMADE, as an alternative approach to conventional law enforcement, relies on community residents to protect their communal lands against illegal use, and poaching in particular.

As law enforcement efforts or ADMADE's influence expands, poachers often turn from hunting to snaring wildlife. This is a particularly indiscriminate and destructive way to capture animals, with many more detrimental impacts than hunting with a rifle. In response to continued poaching and the use of snares, the African College undertook a series of studies to better understand this widespread problem.

The lessons outlined in the African College study, entitled "*ADMADE Lessons Learned Paper: Improving food security to reduce illegal hunting of wildlife*" provides background information about poaching, and some of the factors affecting it. This study acknowledged the staggering scale of poaching, citing that in one GMA alone, 22 of 171 households actively used snares. This level of poaching killed 2,428 animals in one year. The main motive for poaching was to provide additional income, often specifically to buy food for the family.

The lessons learned from this study are:

- The estimated revenue value of the animals killed by poaching is many times more than the cost of food aid required to address community food insecurity.
- Families are most likely to have food shortages during particular times of the year, or when drought conditions persist.
- Community leaders need to be more pro-active in predicting and responding to food shortages.
- Lack of food security should be regarded as one of the most important threats to rural communities.
- When food shortages occur, shortfalls must be offset by the purchase of food until the next year's harvest.
- One key purpose for food relief is to reduce food short falls that might cost the community more money in terms of lost revenues from reduced hunting license sales.
- Ideally, communities will become self sufficient in food production to avoid having to purchase expensive food from outside the area.
- Food shortages are generally not chronic, but occur when yearly harvests do not meet demand. In some cases, the loss of crops to wildlife significantly increased a community's risk of food shortage.

The study determined that a set of food security approaches, particularly emphasizing conservation farming practices, would fit well within CBNRM programs. It was also concluded that working with communities to increase their food production would directly benefit wildlife by reducing incentives for poaching.

### **1.4.3 Other USAID-funded Activities Relevant to the Recipient Program**

#### **1.4.3.1 CARE: Livingstone Food Security Project (1996 – 2002)**

After four years of recurrent drought in the early 1990s, CARE International introduced the Livingstone Food Security Project to address the root causes of food insecurity. An initial series of participatory rural appraisal (PRA) exercises identified the core problems that reduce food security and suggested remedial activities. The

primary activities of the project are village-based management of drought resistant crop seed multiplication and distribution, soil conservation, water harvesting, marketing, savings and income generating activities. In 1999, CARE's village management committees loaned 571 tons of improved sorghum, millet, maize, cowpea and groundnut seed to 26,583 farmers. 1999 project harvests with seed distributed during the 1998 planting season were valued at \$660,000 for 21,000 families. The project is funded from 1996 to 2002 with \$3.64 million.

The project has established a three-tiered structure of community-based organizations (CBOs) in the project areas, in which nearly 27,000 farmers are participating. One LFSP intervention was to establish local available seed supplies of improved low rainfall crop varieties. In the seed scheme project area farmers borrow an initial supply of improved seed, which they then pay back plus "interest" at the end of the season from their harvest. After some initial basic training and support, the seed schemes have become administered almost entirely by members of the local community through the CBOs (in the case of CARE administration is done by Village Management Committees).

#### **1.4.3.2 CLUSA: Rural Group Business Development Program (1996 – 2001)**

The Co-operative League of the USA (CLUSA) Rural Group Business Development Project promotes the emergence of democratically self-managed, financially viable group businesses. To date, the project has operated in Southern and Central Province. CLUSA has supported development of a unique farmer managed outgrower scheme business model entailing farmers to farmer extension, short term credit, input and output marketing, and forward contracting with agricultural commodity processors. Under this outgrower scheme, 8,000 farmers produced paprika, sunflower, soybeans, maize, guar and other crops in 1999.

CLUSA implementation employs village-based facilitators. Facilitators train rural families in problem and opportunity identification, cost/benefit analysis, accounting and other financial management skills, group decision-making and, in some cases, the technical aspects of agricultural production.

#### **1.4.3.3 CLUSA: CBNRM Forestry Program (1998 – 2003)**

Under a second Co-operative Agreement with USAID, CLUSA's Natural Resources Management Project in Eastern province encourages community natural resources management and cash crop farming in communities bordering protected forests. This is a five-year (1998 - 2003), \$3.85 million project, which will increase incomes of 2,500 families in the Mambwe, Katete and one other Eastern Province District. Participating communities will also develop and implement sustainable forest management plans with state and traditional authorities.

#### **1.4.3.4 World Vision: Integrated Agro-Forestry Project (1998 - 2003)**

Through this grant World Vision promotes agro-forestry to improve land and labor productivity in collaboration with the International Center for Research in Agroforestry (ICRAF) and the Ministry of Agriculture, Food and Fisheries. This \$3.2 million, five year project will work with 12,000 farmers in Eastern Province (Chipata, Katate, Chadiza, and Mambwe) to improve their production in response to market opportunities. World Vision will also work with CLUSA in the development of farmer managed group businesses.

### 1.4.4 Desired Synergies between AGR/NRM Activities

Each of SO 1's AGR/NRM activities involves some form of CBOs, which have potential strengths to support CBNRM initiatives. The document "A Profile of Community-Based Monitoring Systems of Three Rural Development Projects in Zambia" outlines a Cross-Pollination Matrix that indicates the relevant areas of expertise developed in each on-going activity (*see below*).

Beneficiary	Areas of Expertise		
	ADMADE has expertise in:	CARE has expertise in:	CLUSA has expertise in:
ADMADE		<ul style="list-style-type: none"> <li>▪ Community-based monitoring of household socio-economic variables</li> <li>▪ Conducting PRA exercises</li> <li>▪ Self-assessment tools for CBOs</li> <li>▪ Operating a network of field staff</li> <li>▪ Technical papers library</li> <li>▪ Experiences and expertise with drought resistant crop varieties</li> <li>▪ Established CBOs and experience field staff in Kafue area GMAs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Small business training methods and materials</li> <li>▪ Operating a network of field staff</li> <li>▪ Identifying markets</li> <li>▪ Developing and operating an outgrower scheme</li> <li>▪ Microfinance</li> </ul>
CARE LFSP	<ul style="list-style-type: none"> <li>▪ Natural resource monitoring</li> <li>▪ Computerized mapping</li> <li>▪ Managing wildlife as a resource in low rainfall areas</li> <li>▪ Land use planning</li> <li>▪ Legally empowered Community Resource Boards in GMAs</li> </ul>		<ul style="list-style-type: none"> <li>▪ Small business training methods and materials</li> <li>▪ Identifying markets</li> <li>▪ Developing and operating an outgrower scheme</li> <li>▪ Microfinance</li> </ul>
CLUSA RGBP/NRM	<ul style="list-style-type: none"> <li>▪ Land use planning</li> <li>▪ NRM technologies and training</li> <li>▪ Long-term presence in Eastern Province</li> <li>▪ GIS and remote sensing technology</li> <li>▪ Training facilities/materials</li> <li>▪ Legally empowered Community Resource Boards in GMAs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Community-based monitoring of household socio-economic variables</li> <li>▪ Conducting PRA exercises</li> <li>▪ Self-assessment tools for CBOs</li> <li>▪ Technical papers library</li> <li>▪ Experiences and expertise with drought resistant crop varieties</li> </ul>	

USAID/Zambia seeks opportunities to build on these strengths to support future CBNRM interventions and to apply the expertise already created through USAID's experience to date.

## **1.5 DONOR AND NGO ACTIVITY IN THE ZAMBIAN NRM SECTOR**

### **1.5.1 NGO ACTIVITY**

While there are numerous NGOs in Zambia, few are actively involved in CBNRM. The Zambian National Farmers Union (ZNFU) provides farmer assistance and policy information. The Economics Association of Zambia contributes to related policy debates. The Wildlife Conservation Society disseminates natural resource management information. The Environmental and Conservation Association of Zambia undertakes reforestation, conservation farming and information dissemination activities. Additional NGOs working in natural resource management include the Save the Rhino Trust, the David Shepherd Foundation, the ZNFU's Conservation Farming Unit, and others.

The primary international NGOs working with USAID funding in the agriculture, natural resource and related private sectors include Care, CLUSA, World Vision, and the International Executive Service Corps. The Wildlife Conservation Society of the Bronx Zoo promotes wildlife conservation, including flora and fauna. The International Union for the Conservation of Nature (IUCN) has a history of engagement with government in the formulation of policy and institutional arrangements within the sector. They are currently assisting in the development of biodiversity indicators within Dutch Embassy support. The World Wide Fund for Nature (WWF) is implementing environmental education programs with a focus on wetlands (Kafue flats). They are also active in the Mumbwa GMA raising public awareness on tree cutting and how conservation can increase rural incomes.

The Kafue Anti-Poaching Organization (KANTIPO) is a very significant player. KANTIPO is a stakeholder association dedicated to conservation and development around the Kafue National Park. Their activities include community development as means of reducing poaching, village training in financial management, provision of equipment and logistics support to ZAWA game guards, community environmental education, and household level income generating activities.

Finally, Peace Corps, the Lutheran World Federation, the Cooperative League of the USA and CARE have all collaborated in one way or another with ADMADE during the WCS ADMADE Sustainability Project.

### **1.5.2 Engagement with Donor Institutions**

A wide variety of donors have supported first the NPWS, and now ZAWA, as well as various CBNRM initiatives throughout the country. Rather than attempt to list all NRM related donors, this section will highlight certain key donors, particularly those currently involved in the Kafue National Park and surrounding GMAs.

About 16 donors provide assistance in private sector growth, disbursing approximately US\$40 – 45 million per annum. Major donors include the World Bank (WB), UNDP, UK/DFID, JICA, NORAD, Netherlands, Denmark, EU and FINNIDA, in addition to USAID. Other assistance comes from FAO, SIDA and the African Development Bank.

The WB is the single largest funder of private sector activities, from legal reform through privatization to direct business financing. UNDP focuses on employment creation through small enterprises, women entrepreneurs and policy support. The UK has a major micro-finance project in place.

The Japan International Cooperation Agency (JICA) provided an expert to evaluate national parks and wildlife research. This effort assisted aerial surveys of large animals in targeted areas and provided training for Zambian wildlife authorities. Japan also funded the development of a Management Plan for Kafue National Park from 1996 to 1999. Funding was provided to KANTIPO (1996-1997) to support anti-poaching operations and environmental education. The Japanese continue to finance small-scale infrastructure and service improvements identified in the KNP Management Plan.

NORAD is supporting the transition from the National Parks and Wildlife Service to the Zambian Wildlife Authority. NORAD has also funded the Luangwa Integrated Resource Development Project (LIRD, now the South Luangwa Area Management Project) for more than a decade. LIRD was ADMADE's community wildlife management counterpart in the Luangwa Area with a more geographically limited focus on the South Luangwa National Park and one GMA.

Since 1997 the Royal Netherlands Embassy has worked in developing the Wildlife Resource Monitoring Unit (WRMU) with the Environmental Council of Zambia and the International Union for the Conservation of Nature. The Embassy was also instrumental in supporting the Zambia Forest Action Plan and may get involved with implementation.

The Danish Embassy is currently planning a NRM activity to be conducted in GMAs in the Kafue NP complex. Official approval of the investment is pending and will not be decided on until September 2000 at the earliest. Regardless the Embassy is moving ahead on detailed planning in hopes that, if approved, they can have action on the ground in the last quarter of 2000. Cooperating organizations include: Zambia National Farmers, Union Conservation Farming Unit, CLUSA, Africare and the Environmental Conservation Association of Zambia. In addition to this up-coming activity the Danes are contributing uniforms and technical equipment to ZAWA over the organization's three-year transition period to fiscal autonomy. The Embassy is also supporting community education and the establishment of a base camp in the Lower Zambezi and for the Treetops Management Committee. They are also providing limited resources to the Wildlife and Environmental Conservation Society of Zambia and the Sitatunga Research Project.

The European Union provided significant technical assistance, commodity and financial support in transforming the National Parks and Wildlife Service into ZAWA. They continue to support to the transition and, if the transition is successful, appear to have the potential to make significant future investments in national parks management.

In agriculture, most donors focus on participatory approaches to rural poverty alleviation and food security. The EU has supported high value crop exportation, particularly of tobacco and horticulture. The WB has initiated an environmental sector investment program aimed at coordinating donor and Ministry of Environment activities. The International Fund for Agriculture and Development (IFAD), EU, and FINNIDA have all recently started to support forest management activities, community involvement, and the establishment of a forestry commission.

## **2 DETAILED RECIPIENT PROGRAM DESCRIPTION**

Applications shall include a detailed description of the recipient's proposed strategy to achieve the results described below. Proposed program strategies shall include discussion of proposed activities leading to specific recipient results, the institutional arrangements necessary to achieve the results and proposed recipient performance measures. The application shall discuss the logical cause and effect of recipient results leading from proposed activities. These elements will comprise the program description for the award of a results-based Cooperative Agreement.

The discussion of recipient activities and results should address, but not necessarily be limited to, the two major program components outlined in Sections 2.2 and 2.3 below. Applicants are advised that significant desired results are described in this RFA but that they need not limit their strategy to just these results. Achievement of complementary results is desirable and may be deemed necessary by the recipient to achieve program impact.

### **2.1 PRINCIPLES UNDERLYING THE RECIPIENT PROGRAM**

After consultation with SO 1 partners and stakeholders, the SO Team determined that the next phase of investment in CBNRM should be based on the following principles:

- 1) Development investments will be more effective if they are based on the aspirations and needs of GMA communities.
- 2) Additional investment ideas that might address the aspirations of GMA communities, but that were not identified by GMA communities, must be fully vetted with and implemented by GMA communities.
- 3) Investments should improve wildlife and general biodiversity in GMAs.
- 4) Investments must be clearly targeted, realistic, market oriented when possible, and complementary to other non-USAID investments. They should not undercut private sector initiative.
- 5) Investments should generate empirically based lessons learned. Lessons learned should be effectively communicated to the national level to influence change that increases rural income opportunities and conserves natural resources in GMAs.
- 6) Although the focus and expected impacts must be targeted to local communities, a national level presence is needed. This presence will encourage policy implementation and governance support for the profitability, equitability, and sustainability of USAID investments.

- 7) A major purpose of the national level presence is to influence national policies, promote civil society advocacy and ensure that lessons formulated on the ground are communicated to national decision-makers.

USAID wants to provide coordinated support at both the community level and the national level. Therefore, proposed recipient programs should establish priorities and identify partner institutions at these levels.

## 2.2 PROGRAM RESULTS OF THE CBNRM COMPONENT

This Request for Applications (RFA) seeks applications from qualified organizations to implement a recipient CBNRM program in the one or several GMAs adjacent to the Kafue National Park (KNP). Applications shall describe which GMAs the recipient plans to work in and why the selected GMAs present the best opportunities to achieve significant impact on food security, rural household incomes and natural resource degradation

The highest-level end results of the CBNRM components are:

- 1) Increased food security;
- 2) Increased rural household income; and
- 3) Decreased natural resource degradation.

As stated in section 1.3.1, USAID/Zambia’s 1998-2002 Country Strategic Plan USAID/Zambia has designed a cross-sectoral approach that links consolidation of the agricultural market reforms with private enterprise development to bring about sustainable increases in rural incomes. Considering the large portion of Zambia’s rural population living in and around GMAs, and the multiplier economic growth potential of tourism and related industries, community based wildlife management constitutes a key component in this approach. The USAID Mission’s Strategic Plan’s rural income focus in Strategic Objective 1 (SO 1) seeks to support projects that address problems identified by rural families (SO 1: Increased rural incomes of selected groups). SO 1 activities also involve women to enhance their contribution to rural economic growth, develop rural family and private sector partnerships, and focus on developing appropriate “second generation” policies and regulations

KNP is one of Zambia’s most important wildlife areas and eco-tourism destinations providing unique wilderness experiences only associated with Africa. The park is the largest and oldest national park in Zambia, located in the south-central part of the country. It contains one of the highest diversities of fauna in all Zambia and supports a range of habitats, including papyrus swamps, grassland flood plains and woodlands.

As ZAWA finalizes and implements its General Management Plan for the park, efforts will be made to broaden local people’s participation in GMA management activities, encourage more employment of local people by the tourist sector, and to educate local communities about the park’s resources and conservation issues. Therefore an effective recipient program focusing on GMAs around the KNP may need to harmonize its activities with the National Park’s overall management plan if possible.

**Game Management Areas in the KNP  
Complex Subject of this RFA**

1. Mulobezi
2. Sichifulo
3. Bilili Springs
4. Mumbwa East
5. Mumbwa West
6. Namwala
7. Lunga Luswishi
8. Kasonso Busanga
9. Kanuanyembe
10. Nkala

NB: This list is illustrative given that new GMA are constantly being added and existing GMA names and boundaries of change frequently.

### 2.2.1 Program Management Structure and Community Involvement

In addition to the general principles stated above, it is important that proposed recipient CBNRM program management structures comply with the 1998 Zambian Wildlife Act, which establishes ZAWA as the overall authority for GMAs. The Act also specifies that CRBs can be legally empowered to work with ZAWA as representatives of the GMA community, to develop land use plans, set hunting quotas, and determine revenue sharing policies. The engagement of other management units, such as Village Action Groups and Game Scouts, may be proposed as appropriate. It is important that the formation of new program management structures do not detract from establishment of effective local organizations and delivery systems needed accomplish results achievement after the withdrawal of USAID support.

Applicants will want to balance the policy and program implications of 1998 Zambian Wildlife Act with the lessons learned noted in the Background section of this Program Description as well as other interventions. Furthermore, program strategies should respect the CBNRM principle of broad community participation. USAID currently believes that community involvement in problem identification and activity prioritization is essential for the long-term success of CBNRM activities. The SO Team noted this in its first two program principles in Section 2.1. USAID seeks the broadest possible community participation in decision-making and revenue sharing. Participation and community ownership is crucial in managing wildlife and the financial resource stemming from sustainable resource use. Participation and decision-making must not stop with CRBs or other centrally established governance structures. Proposed recipient program activities should clearly identify stakeholders in and around GMAs, reference their anticipated roles in decision-making processes, and explain how interventions will enhance their roles in pursuit of increased rural incomes and natural resource appreciation or management.

Finally, although Community Resource Boards are an evident element of Zambia's current wildlife management policy and legislative regime, they are as yet an untested variable. Applicants should embrace USAID's desire to test CRB appropriateness, suggest modifications to CRB institutionalization if necessary, and recommend alternative structures if that is in the best interests of community natural resource management.

## **2.2.2 Key CBNRM Management Constraints and Approaches**

There are several key constraints to CBNRM in KNP and its surrounding GMAs. These include:

- Poorly defined park borders;
- Human encroachment;
- Illegal hunting;
- Uncontrolled human caused fires;
- Loss of habitat, particularly from firewood cutting;
- Charcoal production;
- Slash and burn agriculture
- Traditional governance structures and lack of management, financial and technical training. Other aspects that must be considered are:
  - Zambia's legal framework which affects land tenure, access to resources; financial incentives, economic resources and available markets;
  - Appropriate income diversification options and strategies;
  - Gender issues, to insure full and equal participation by women; and
  - The types of institutional resources, both from government and the private sector, that can help support CBNRM interventions.

An important program management issue is how to overcome the pervasive attitude of "rural dependency" in Zambia. Perhaps due to government policies during the pre-independence to 1991 period, rural Zambians have a tendency to look to government first for solutions to rural poverty and food insecurity problems. For example, when asked, most rural families will respond that they need "credit." Due to past government programs, rural families often interpret the word "credit" to mean free fertilizer and maize seed. It is clear that one of the key results needed to mobilize involvement in CBNRM is to overcome widespread rural family perceptions that external agents are "problem solvers" and not "problem solving facilitators."

## **2.2.3 Anticipated Program Delivery Activities in CBNRM**

### **2.2.3.a Community Level CBNRM Needs Assessment**

#### **Result: Strategy and Methodologies for Increasing Broad-Based Community Participation Identified and Tested.**

A complaint about previous CBNRM efforts in Zambia is the lack of local involvement in priority setting. In many cases, predetermined emphasis on wildlife management favoring safari and tourism concessions left many individuals outside of the CBNRM process.

USAID seeks applications that will develop Participatory Rural Assessment (PRA) models for early and continued broad-based community involvement in priority setting. USAID seeks, as a primary objective of this effort, to increase rural incomes while developing and fostering sustainable wildlife management. However, in recognizing the multiple needs of most rural communities, USAID is looking for recipient program methodologies whereby people identify the development activities that most directly address their needs.

#### **2.2.3.b CBNRM Skills Development**

**Result: Short-term increases in the capacity of rural families to manage activities that effectively address their needs and that may successfully contribute to improved natural resource management.**

Experience has shown that training for rural leaders and community members will be required to develop a variety of skills crucial for sustainable CBNRM. Therefore, an important component of the PRA noted above will be identifying and prioritizing community training needs. Applicants shall propose creative solutions to skills development that take into account the varied levels of literacy and needs of GMA populations. Proposed program activities shall integrate or learn from existing USAID rural family training resources and activities, as described in Section 1.4.

#### **2.2.3.c Product and Market Analysis Services**

**Result: Creative, yet practical, alternative product and marketing options are identified and accessible to communities to address the constraints of chronic food insecurity and limited economic options in GMAs.**

GMAs currently rely on wildlife for hunting concessions and for eco-tourism as their primary source of revenues. For instance, market studies could analyze and prioritize agricultural changes that will diversify and intensify agricultural production as a primary opportunity to assist rural families. Alternative economic activities, such as honey production, fish farming, and game ranching have been suggested as possible viable options. Other options include building furniture from lumber that is currently being hand-milled or developing co-ops for market baskets and carvings.

Applicants are encouraged to form linkages with the private sector, particularly if the private sector entity(ies) can provide assistance with training, marketing, and start-up financing.

#### **2.2.3.d Wildlife/NRM Monitoring Capacity**

**Result: CBNRM decisions in the program area are based on reliable biophysical and management information.**

An important challenge in achieving this result will be involving communities in both data collection and analysis. The information needs for any effort to sustainably manage a biologically complex resource, such as a GMA, are significant. A broad range of information needs arise when the management systems includes partnership between government, rural communities, private businesses, and donors. Without more and better information on issues such as legal and illegal hunting, habitat conditions, wildlife population trends, human population trends and income levels, key resource decisions cannot be made with confidence. Such information will require that local wildlife and NRM monitoring activities are reviewed, improved, and maintained to ensure valid and reliable data streams. KANTIPO is currently supporting limited monitoring systems in some KNP GMAs. ADMADE has amassed considerable monitoring experience in its target GMAs (*see selected references – report by A. Lyons*).

### **2.3 PROGRAM RESULTS OF THE NATIONAL POLICY COMPONENT**

As described in Section 2.1, a major component of the recipient program will be the development of effective advocacy for CBNRM at the national level.

#### **2.3.1 Policy Reform, Implementation and Advocacy Results**

**Result: facilitate the development of civil society institutions that can consistently contribute to existing and new environmental and NRM policies**

Zambia continues to develop policies that promote sustainable natural resource use and CBNRM. The newly adopted Wildlife and Forestry Acts represent progress in policy reform although most NGOs and private sector players working in CBNRM have observed that problems remain in the new legislation. Issues such as the issuance of special licenses and the authorities of GMAs may compromise the positive evolution of CBNRM and biodiversity conservation. Currently policy and implementation decisions are made with limited input from outside government. The need for increased participation in policy reform is essential for two reasons. One, the

technical quality of new policies requires that critical expertise resident outside of government be engaged. Two, the ability of government to implement policy is directly dependent on the understanding and acceptance of its reforms among private and not-for-profit resources users.

With support of the recipient, the advocacy groups will implement activities that result in influencing CBNRM policy development in favor of sustainable resource use. Achievement of this first step may require achievement of contributing results such as skill development in strategic analysis, the policy formulation process and lobbying techniques. While some of this expertise may be resident in the sector, it may not be present in the rural NGO/private entities that would comprise the national-level advocacy presence. A related issue to this first set of results is how the recipient proposes to include the engagement of key NGO and private entities that do not maintain a technical staff presence in the capital. Issues of transparency and communication within this nascent network will also need to be addressed.

While this component will focus primarily on facilitating an NGO/private sector engagement in the policy process, the recipient may want to establish a working arrangement with the temporary GMA Directorate to be formed in ZAWA. USAID does not anticipate, as part of this Cooperative Agreement, supporting program results uniquely limited to internal ZAWA functions. Such investments, if undertaken, would need to be bilateral in nature and are not subject to this RFA. However, recipients may see fit to include the GMA Directorate in proposed activities that come under this component and, if so, will want to make that explicit as specific recipient results in their applications.

The applicant is encouraged to identify a minimum of short-term inputs that will enhance the technical quality of national-level initiatives. These inputs could include studies, conferences, visits, speakers and possibly more creative means to stimulate debate and generate movement in policy analysis and implementation. The SO Team observes that the vast majority of technical resources needed for such inputs are resident in the sub-region. Relevant CBNRM experience in areas other than KNP, and outside of Zambia, is a valuable resource.

In proposing an approach under this component, applicants may want to consider other complementary activities and results that contribute to those stated above. One observation made by local NGOs is that information on existing policies needs to be more widely disseminated so that deviations from approved policies are publicly debated. For example, in the past recommendations developed through a broad based consultative process were not respected in awarding hunting blocks within the GMAs to safari companies. This may have led to over hunting and lost opportunities in addressing the needs of wildlife depleted GMAs. Recipient program strategies that increase government accountability and public awareness at all levels would be valued.

### **2.3.2 Functional Linkages Between ZAWA and CBNRM Communities**

#### **Result: Strengthen ZAWA and its relationships with local communities to support CBNRM interventions.**

While recognizing that ZAWA is a new and evolving institution, applications shall describe how appropriate linkages would be established between ZAWA and local communities to support CBNRM interventions. These linkages should facilitate community input in important national level developments and debates on GMAs and CBNRM as stated in Section 2.3.1, but also include regional and local cooperation and support.

Although ZAWA is in its initial stages of development there are indications that it will include a Game Management Area (GMA) Directorate. This Directorate ostensibly will provide capacity building services to CRBs in GMAs. Current thinking seems to be that these services would be contracted for and that the Directorate would have a limited 5-year life span. At the end of that time CRBs would have full authority over finance generated from eco-tourism and hunting activities within their GMAs. They would also have full authority for natural resource management in their area. Applicants may wish to propose specific program results and activities that would directly contribute to this devolution. Notwithstanding the diminishing role of ZAWA, there will undoubtedly be a need for an on-going productive and cooperative relationship between ZAWA and the GMAs.

Assuming ZAWA does establish a CBNRM Directorate the Offeror should consider proposing how CBNRM will be institutionalized within ZAWA policies and programs.

Demonstrated CBNRM linkages should engage ZAWA, private sector, tourism companies, and CRBs in the achieving community and environmental impact. Applicants may wish to assess the current state of relationships among ZAWA and the other local players and propose specific recipient program results relative to the engagement and cooperation of ZAWA in proposed CBNRM interventions. One means to this may be for recipients to choose to involve ZAWA in localized CBNRM skill development activities when appropriate.

### **2.3.3 Effective National-level Civil Society and NGO Engagement in the NRM Sector**

**Result: Strengthen the role of civil society and national NGOs in support of CBNRM.**

Zambia has very limited public participation in NRM related issues. USAID seeks opportunities to increase public awareness and NGO capacity to broaden support for NRM issues and to increase government accountability.

## **2.4 RECIPIENT PERFORMANCE MEASURES AND SO 1 INDICATORS**

Applicants are requested to propose performance measures in line with SO 1's Results Framework (RF) to accompany their proposed program results. USAID/Zambia is not interested in exhaustive reporting on recipient activity inputs and outputs. Adequate performance management can be achieved through a combination of reporting on recipient-identified performance measures, internal recipient monitoring, and occasional external evaluation. Consonant with this balance, USAID strongly encourages applicants to propose no more than ten performance measures for the recipient program. Measures that correspond to SO 1's are listed below. Applicants are expected to accompany their proposed performance measures with baseline data and proposed targets for each year of the anticipated Cooperative Agreement.

One obvious implication of this recommendation is that recipients may propose and implement activities that do not directly generate data for the agreed-upon performance measures. This is acceptable in that the results of these activities will contribute to reported performance on a more aggregate level within the program. This logical cause and effect of proposed results, indicated by performance measures, constitute the heart of applicants' development strategies.

USAID/Zambia has its own set of performance indicators for Strategic Objective 1 that it uses to track performance internally and to report annually to USAID/Washington. Proposed recipient performance measures must link to SO 1 performance indicators. Performance indicators for SO 1 and the IRs relevant to this RFA are listed below:

**SO 1:** "Increased rural incomes of selected groups" uses the performance indicator of "Percent increase in incomes of assisted rural non-farm enterprises (RNFE)." An RNFE is any rural enterprise not directly involved with agricultural production (cultivating, planting, weeding, harvesting). RNFE's can market or distribute agricultural inputs (fertilizer, seeds, new technologies) and/or market agricultural outputs, as well as undertaking other income generating activities. In many cases, RNFE's will be group businesses.

The selected groups can earn rural incomes through the sale of products or services and/or from the consumption on-farm of output or services resulting from SO 1 assistance, valued at market prices. For example, if a group is involved in the dissemination of a production technology that increases rural family food access, then that increased food is valued at market prices to determine how it contributes to SO 1 achievement, even though it may be consumed by the family.

To achieve the Strategic Objective, USAID focuses on delivering services that contribute to the achievement of three intermediate results.

### **2.4.1 Intermediate Result 1.1 (IR 1.1), "Increased Sustainable Agriculture and Natural Resource Production."**

There are two performance indicators for this IR: a) Land and labor productivity, and b) Number of farmers of selected groups adopting improved technologies.

For selected groups receiving assistance under SO 1, land and labor productivity will be measured by estimating the value of increased production minus the value of inputs used to achieve that production. The measurement of the number of farmers in selected groups adopting improved technologies is self-explanatory, but reporting must disaggregate membership by gender.

#### **2.4.2 Intermediate Result 1.2 (IR 1.2) , "Increased contribution of rural non-farm enterprises to private sector growth."**

There are three performance indicators for this IR 1.2: a) RNFE sales and service revenue; b) Improved RNFE access to finance; c) Number of clients/members of institutions that support RNFE members.

For selected groups receiving assistance under SO 1, RNFE sales and service revenue will be measured by estimating the value of commodities or services sold by assisted groups, denominated in dollars at a pre-determined exchange rate, and added together to get one figure. Measurements will be compared annually to track percentage changes.

Improved RNFE access to finance will be measured by estimating increased RNFE use of commercial credit, production inputs supplied on credit (supplier credits), or investment of retained earnings. The unit of measurement will be the dollar value of finance and any changes from one year to the next. Impact should be disaggregated, by gender, at the RNFE level.

The number of clients/members of institutions that support RNFE members will measure SO 1 outreach and influence. RNFE support institutions include NGOs, business associations, business training institutes, which focus services on rural clients, etc.

#### **2.4.3 Intermediate Result 1.3 (IR 1.3), "Improved trade and investment environment."**

There is one performance indicator for this IR 1.3: "Non-traditional agricultural and natural resource exports." This will be measured by estimating the annual value of non-traditional agricultural and natural resources exports stated in dollars, and compared annually using percentage as an indicator of change. Tourism services sold to non-Zambians (safari hunting, eco-tourism, curios) will be regarded as natural resource exports.

### **3 SELECTED REFERENCES**

- ADMADE Lessons Learned Paper: "Helping communities succeed n CBNRM: Roles and functions of a training institute," D.M. Lewis, African College for CBNRM, Zambia.
- ADMADE Lessons Learned Paper: "Alternative approaches to estimating wildlife population trends: a test of community-based management," D.M. Lewis, African College for CBNRM, Zambia.
- ADMADE Lessons Learned Paper: "The role of democracy in promoting conservation and rural development," D.M. Lewis, African College for CBNRM, Zambia.
- ADMADE Lessons Learned Paper: "Improving food security to reduce illegal hunting of wildlife," D.M. Lewis, African College for CBNRM, Zambia.
- "A Profile of Community-Based Monitoring Systems of Three Rural Development Projects in Zambia," Andy Lyons, USAID/Zambia, 1998.
- Environmental Threats Assessment: Zambia, Joao de Quiroz, AID/REDSO/ESA, 1997
- National Environmental Action Plan, Ministry of Environment and Natural Resources (MENR), 1994
- See also: <http://www.info.usaid.gov/zm/index.html> or <http://www.usaid.gov/zm> (after mid/late July 2000) to download the above referenced documents and for further background on Zambia and USAID's Agriculture and Private Sector activities.

## Section IV

### Applicable Policies and Regulations, and U.S. Non-governmental Recipient Cooperative Agreement Format

#### 1. Availability of Information

USAID acquisition and assistance resources and formats are available for potential applicants via the Internet at [http://www.info.usaid.gov/procurement\\_bus\\_opp/procurement/](http://www.info.usaid.gov/procurement_bus_opp/procurement/) and [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/](http://www.usaid.gov/procurement_bus_opp/procurement/) (after mid/late July 2000.) Handbooks, including the Automated Directives System (ADS), and regulations are accessible from this page under the “Procurement Regulations/Directives” link. ADS chapter 303, found at <http://www.info.usaid.gov/pubs/ads/300/303.htm>, contains USAID policy and guidance applicable to grants and cooperative agreements, as well as links to supplementary and mandatory references to ADS 303, including: the sample award letter and cooperative agreement schedule; Standard Provisions, both Mandatory and Required As Applicable, for US Non-Governmental and Non-US Non-Governmental Recipients; and applicable cost principles.

#### 2. Sample Format

The cooperative agreement format is available for review at the following website:

<http://www.info.usaid.gov/pubs/ads/300/303518s.pdf>

ONLY if the applicant is not able to review the Cooperative Agreement text and format via the USAID Internet website, potential applicants may request a hard copy of the text and cooperative agreement format by contacting the RCO/USAID/Gaborone at fax number (267)324486

Applicants should **NOT** fill in any of the blanks in the Cooperative Agreement format, nor return it to USAID, since the Agreement Officer shall issue the actual Cooperative Agreement after the final selection is made.

#### 3. Additional Requirements

The following additional provisions and requirements are unique to this activity, and will be added to the resulting cooperative agreement.

**a. Substantial Involvement**

1. USAID/Zambia will approve annual workplans. The initial work plan is required as part of the application. Future annual workplans are due 30 days prior to the anniversary of the cooperative agreement award. These workplans will include, at a minimum:

- Proposed activity reorientation as appropriate based on previous year's performance, activity plan for the upcoming year.
- Anticipated staffing of key positions;
- Approval of Semi-annual and final report formats
- Updated international travel plans (per the Standard Provision on International Travel);

2. Based on the applicant's proposed staffing plan, USAID/Zambia will designate up to four (4) positions as key. USAID/Zambia approval of the individuals filling these positions is required. USAID/Zambia reserves the right to review this approval at any time.

3. USAID/Zambia will approve monitoring and joint evaluation plans, and USAID will be involved in monitoring progress toward the achievement of program objectives during the course of the Cooperative Agreement.

**b. Reporting**

The following reports will be required under the resulting cooperative agreement:

- **Annual Work Plans:** These plans, to be approved by USAID/Zambia, should outline proposed activities for the upcoming year and will be submitted annually. The initial Annual Work Plan is to be submitted with this application. Subsequent annual work plans will be submitted for review and approval nine months after the effective date of the cooperative agreement (or its anniversary).
- **Performance Reports:** The awardee will be required to provide semi-annual performance reports to USAID/Zambia SO1 Team Leader, within 30 days following the end of the reporting period. These performance reports shall be limited to 3 pages and will include: a comparison of actual accomplishments with the goals and objectives established for the period, reasons why established goals were not met (if appropriate), a discussion of any problems operative during the period together with the recipient's plans to address those problems, and any other programmatic or financial situation which is substantially different from what was anticipated. A specific format for the semi-annual performance report will be proposed by the recipient to USAID/Zambia for approval, three months after award.
- **Final:** Within 90 days following the completion of this Cooperative Agreement, the Recipient should submit a final report which includes: an executive summary of the Agreement's accomplishments and conclusions about the need for future assistance; an overall description of the Agreement's activities and accomplishments; an assessment of the performance in accomplishing the program's objectives; significance of these activities; findings; comments and recommendations; sustainability plans and a fiscal report that describes how the Cooperative Agreement funds were used.
- **Financial reports** must be submitted quarterly for the duration of the program, no later than 30 days following the end of the reporting period. Reports should be submitted to USAID/Zambia Office of Financial Management and to M/FM/CMP. Financial reports shall include expenditures of USAID project funds provided during the reporting period. The awardee will also be requested to estimate accrued but not reimbursed expenses on a quarterly basis. The final financial report shall be due no later than 90 days following the end of the agreement period.

**c. Authorized Geographic Code and Property Title**

The authorized geographic code for the procurement of goods and services under the proposed cooperative agreement is **935, “Special Free World”**. The “Development Fund for Africa (DFA)” source, origin, and nationality rules will apply. All property purchased with USAID funds under the award will be titled in the Government of Zambia.

## Section V – Certifications and Other Statements of Applicant

Applicants must submit signed copies of the certifications and statements shown below, which shall be submitted with the cost proposal.

### Part I – Statutory and Regulatory Certifications

#### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

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

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

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

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

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

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

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

#### **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

##### **(a) Instructions for Certification**

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

**3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS<sup>5</sup>**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.<sup>6</sup> You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"<sup>7</sup> provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

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<sup>5</sup>The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary.

<sup>6</sup>See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, App A.

<sup>7</sup>For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**4. CERTIFICATION REGARDING LOBBYING**

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

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

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities,"<sup>8</sup> in accordance with its instructions.

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

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

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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**5. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. <sup>1/</sup> You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," <sup>2/</sup> without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

<sup>1/</sup> See ADS Chapter 303, 22 CFR 208.

<sup>2/</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No.  
Application/Proposal No.  
Date of Application/Proposal  
Name of Applicant/Subgrantee  
Typed Name and Title

Signature \_\_\_\_\_ Date

**PART II**

**OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

<u>Name</u>	<u>Title</u>	<u>Telephone No.</u>	<u>Facsimile No.</u>
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**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

TIN:

**3. CONTRACTOR IDENTIFICATION NUMBER--DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

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

DUNS:

**4. LETTER OF CREDIT (LOC) NUMBER**

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

LOC: 72-00-

**END OF SECTION V**

## Section VI

### Standard Form 424, 424A and Instructions

Note: Electronic copies of these forms can be accessed from the following website:

[http://www.info.usaid.gov/procurement\\_bus\\_opp/procurement/forms/SF-424/](http://www.info.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/)

## SECTION VI

Standard Form 424

OMB Approval No. 0348-0043

**APPLICATION FOR  
FEDERAL ASSISTANCE**

		2. DATE SUBMITTED	Applicant Identifier														
1. TYPE OF SUBMISSION:		3. DATE RECEIVED BY STATE	State Application Identifier														
Application ____ Construction	Preapplication ____ Construction	4. DATE RECVED BY FEDERAL AGENCY	Federal Identifier														
____ Non-Construction	____ Non-Construction																
5. APPLICATION INFORMATION																	
<b>Legal Name:</b>		<b>Organizational Unit</b>															
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)															
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box) .. <input style="width: 50px; height: 20px;" type="text"/>															
8. TYPE OF APPLICATION		<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">H. Independent School Dist</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Indian Tribe</td> </tr> <tr> <td>D. Township</td> <td>K. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>L. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Other (specify)</td> </tr> <tr> <td>G. Special Dist.</td> <td></td> </tr> </table>		A. State	H. Independent School Dist	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Indian Tribe	D. Township	K. Individual	E. Interstate	L. Profit Organization	F. Intermunicipal	M. Other (specify)	G. Special Dist.	
A. State	H. Independent School Dist																
B. County	I. State Controlled Institution of Higher Learning																
C. Municipal	J. Indian Tribe																
D. Township	K. Individual																
E. Interstate	L. Profit Organization																
F. Intermunicipal	M. Other (specify)																
G. Special Dist.																	
9. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:		9. NAME OF FEDERAL AGENCY															
TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:															
12. AREAS AFFECTED (Cities, Counties, States, etc.):																	

13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:  DATE  B. NO. _____ PROGRAM IS NOT COVERED BY E.O. 12372 _____ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant	\$		
c. State	\$		
d. Local	\$		
e. Other	\$		
f. Program Income	\$		
g. TOTAL	\$		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		_____ Yes If "Yes", attach an _____ No explanation	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative			e. Date Signed

Previous Edition usable  
Authorized for Local Representative

Standard Form 424 (REV 4-92)  
Prescribed by OMB Circular A-102

## INSTRUCTIONS FOR THE SF 424

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Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:                   Entry:

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - "New" means a new assistance award.
  - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
  - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9. Name of Federal agency from which assistance is being requested with this application.
10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project.
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

**SF 424 Back (Rev. 4-92)**

Item:                   Entry:

**INSTRUCTIONS FOR THE SF 424 (continued)**

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**Standard Form 424A**  
 OMB Approval No. 0348-0044  
**Budget Information - Non-Construction Programs**

<b>SECTION A - BUDGET SUMMARY</b>						
Grant Program Function or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1.	\$	\$	\$	\$	\$	\$
2.						
3.						
4.						
<b>5.TOTALS</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
<b>SECTION B - BUDGET CATEGORIES</b>						
6. Object Class Categories	Grant Program, Function or Activity				Total	
	{1}	{2}	{3}	{4}		
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						

i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

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**STANDARD FORM 424A (cont'd)**

<b>SECTION C - NON-FEDERAL RESOURCES</b>					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10					
11					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
<b>SECTION D - FORECASTED CASH NEEDS</b>					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
<b>SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT</b>					
(a) Grant Program	Future Funding Periods				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

**Standard Form 424A (cont'd.)  
INSTRUCTIONS FOR THE SF 424A**

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Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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## General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

**Standard Form 424A (cont'd.)**

**INSTRUCTIONS FOR THE SF 424A (continued)**

**Section B. Budget Categories**

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal Resources**

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

**Section D. Forecasted Cash Needs**

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

END OF SECTION VI