



# USAID | ETHIOPIA

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Issuance date: December 15, 2020  
Questions Deadline: December 29, 2020 - 1700 Ethiopia Time  
Closing date: February 9, 2021 - 1700 Ethiopia Time

Subject: Notice of Funding Opportunity Number: 72066321RFA00002

Program Title: Disaster Risk Management Professionalization and Youth Leadership (DRM-PYL) Activity

Ladies/Gentlemen:

The United States Agency for International Development's (USAID) Mission in Ethiopia (USAID/Ethiopia) is seeking applications for a cooperative agreement from qualified entities to implement the DRM-PYL Activity, subject to the availability of funds. Eligibility for this award is not restricted.

USAID/Ethiopia intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on [www.grants.gov](http://www.grants.gov), and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the NOFO has been received from the internet in its entirety.

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USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifiers and System for Award Management (SAM) requirements detailed in Section D.6.7. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

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Please send any questions to the points of contact identified in Section D. The deadline for questions is shown above. Responses to questions received by the deadline will be furnished to all potential applicants through an amendment to this notice posted to [www.grants.gov](http://www.grants.gov).

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

**Final award of a Cooperative Agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures, including the temporary partial pause on certain foreign assistance funding for Ethiopia.** While it is anticipated that these procedures will be successfully completed, the applicant is hereby notified of these requirements and conditions for award. The application is being submitted at the risk of the applicant; should circumstances prevent the award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID/Ethiopia programs.

Sincerely,



Kevin Sampson  
Supervisory Agreement Officer  
USAID/Ethiopia

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## **SECTION A: PROGRAM DESCRIPTION**

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

### **A.1 OBJECTIVE**

This objective of the activity is to strengthen the staffing capabilities of the Government of Ethiopia (GoE)’s Disaster Risk Management (DRM) institutions by empowering young professionals and equipping them with the skills that they need to actively engage in disaster risk management and strengthen GoE’s institutional disaster risk management capacity.

Currently, the effectiveness of Ethiopia’s DRM institutions is limited by their human resource capacity. Therefore, USAID is seeking support in strengthening the country’s institutional risk management capacity to plan for, mitigate against, and respond to disasters, and therefore reduce the impact of multi-hazard shocks on people and communities.

Through this activity, USAID expects young professionals’ disaster risk management skills and analytical capacities will be improved, young professionals’ leadership opportunities will be improved, and the disaster risk management human resources capacity of Ethiopia's disaster risk management institutions will be strengthened.

### **A.2 BACKGROUND**

#### **a) Country Context**

**Recurring droughts, conflicts, and disease outbreaks:** Ethiopia faces a wide range of natural and man-made hazards, including drought, flooding, conflict and disease outbreaks. The 2020 Ethiopia Humanitarian Response Plan (HRP) Mid-Year Update identified 19.2 million people total in need of humanitarian assistance, including 11.8 million in need of food assistance and 9.4 million in need as a result of COVID-19. The Displacement Tracking Matrix (DTM) estimates of internal displacement peaked at over 3 million in 2019, and remained at an estimated 1.8 million as of September 2020. In HRP-assessed locations, 1,233,557 IDPs were displaced due to conflict (68% of caseload), 351,062 IDPs (19%) were displaced due to drought, and 104,696 IDPs were displaced due to seasonal floods (6%).

**Gendered impact of disasters and the most vulnerable:** In Ethiopia, disasters do not affect people equally. Women are particularly vulnerable to the impact of shocks, being constrained by norms and role expectations that limit their mobility and access to and control over resources rendering them more vulnerable to the impact of disasters. Pre-existing discriminatory practices are often exacerbated and domestic and sexual violence against women often increases due to

disaster-induced stress. Gender-based violence (GBV) is particularly prevalent in the case of conflict shocks, where violence against women is used to intimidate, punish or coerce.<sup>1</sup> Along with women, the protection cluster categorizes children, people with disabilities and the elderly in the “most vulnerable” category. 4.89 million of the 8.86 million people in humanitarian need in Ethiopia are children, and 2019 saw a spike in unaccompanied and separated children in Ethiopia, with estimates almost double those of 2018.

**Population growth and youth unemployment:** Ethiopia is the second most populous country in Africa, with over 112 million people in 2019 forecasted to reach 145 million by 2030. Rapid population growth is producing significant shifts of the demographic profile, including a sizable “youth bulge” in which 45 percent of the population is under the age of 15 and more than 60 percent is under 25 years old. 80,000 university graduates are unemployed due in part to the relevance and quality of their education and limited practical experience.

**Large humanitarian assistance needs:** The multi-hazard shocks that Ethiopia faces undermine the country’s Journey to Self-Reliance and constrain the Government of Ethiopia’s (GoE) ability to execute its reform agenda. In 2020, the number of people in need of humanitarian assistance rose to an all time high of 19.2 million with the confluence of COVID-19, desert locusts, and conflict in addition to ongoing climatic and other health shocks, requiring \$1.65 billion in humanitarian assistance this year. Large yearly appeals for Humanitarian Assistance have become the new normal, with at least \$5.2 Billion provided by the GoE and donors in the past eight years, including over \$600 million from USAID in 2019. Disaster risk management capacity needs to be strengthened to address the country’s risk exposure and associated humanitarian needs. Strengthening government and community systems to effectively manage shocks is crucial for saving lives, safeguarding livelihoods, building resilience and protecting development gains.

## **b) General Historical and Background Information**

**Robust Disaster Risk Management policy framework with staffing gaps:** To respond recurrent and frequent shocks, the GoE shifted its disaster risk management policy and strategy from reactive emergency response to a broader, more comprehensive one of multi-hazard disaster risk management that emphasizes planning for disasters and conditions of vulnerability. The multi-disciplinary approach was codified with the 2013 National DRM Policy and 2014 [DRM Strategic Program and Investment Framework \(SPIF\)](#) which mandated the establishment of a multi-hazard and multi-agency system. This policy reflects a shift in perspective from the view of disaster as an unavoidable or unpredictable phenomenon, towards an understanding of disaster as a complex development issue. Under this system, assigned lead ministries are responsible for early warning, prevention, preparedness, response and recovery to specific hazards.

In addition, the GoE issued Guidelines for Mainstreaming Disaster Risks into Investment Decisions in Ethiopia in 2018, a signal of will for a substantial increase in staff expansion in a

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<sup>1</sup> Eric Neumayer and Thomas Plumpo (2007), the Gendered Nature of Natural Disasters, the Impacts of Catastrophic Events on the Gender Gap in Life Expectancy, 1981-2002, Annals of the Association of American Geographers. USAID/Ethiopia DRM Project gender analysis by Anne T. Sweetser, 2019.

variety of institutions at different levels of government. The DRM mainstreaming guidelines advocate for DRM mainstreaming in the sectoral policies, development programs, and budget of all government entities for designing and implementing risk-sensitive programmes. The GoE established a DRM directorate to build human resource capacity in each ministry to manage respective disasters.

Addressing the human resource requirements to implement the GoE's mainstreaming policy remains a challenge. At the federal level, 46% of staff at NDRMC are retirees supported by donor funding. At the woreda level there is no dedicated DRM capacity, and DRM tasks like early warning rely on the willingness and availability of development/agriculture extension workers. Capacity limitations and high staff turnover across the DRM system are compounded by lack of harmonized roles and responsibilities at federal, regional and woreda levels, leading to fragmentation or duplication of effort. There are human capacity gaps for DRM-related positions at the woreda level that have yet to be filled. In addition, gaps exist in both informal and formal linkages between universities and the GoE's DRM institutions.

**Role of youth in DRM:** The DRM SPIF recognizes the importance of youth in disaster risk management, including their integration and engagement in decision making, using youth associations as a platform for the community-managed disaster risk reductions and DRM awareness creation, and developing communications plans and products targeting youth. However, the status of implementation of this youth integration is unknown due to lack of data and focused initiatives to support youth in DRM.

**Building on a another Activity:** The DRM-PYL activity will build upon the Bahir Dar University Internship Support Program (BDU-IPS) (2013-2021)<sup>2</sup>, which was a small-scale initiative that yielded both positive results and learning (See Appendix 1). The Bahir Dar University, Department of Disaster Risk Management and Sustainable Development (DRMSD) was established in 2005 by a joint committee of experts (Bahir Dar University, Save the Children/UK and Canada and DPPC) within the Faculty of Agriculture and Environmental Sciences as a response to an identified need to build more resilient communities through strengthened capacity and sustainable development in Ethiopia. BDU Interns were, and are, placed in the National Disaster Risk Management Commission (NDRMC), its regional offices, and the Fire and Disaster Risk Management Agency (FDRMA) (formerly the Fire and Emergency Prevention and Rescue Agency [FEFRA]). An expansion of the BDU-IPS activity is necessary to build local DRM capacity in other regions and at a more local, woreda-level, as well as across line ministries. The expansion will be both in terms of geographical scope and youth leadership support, and will draw other graduates in from other academic disciplines besides DRM.

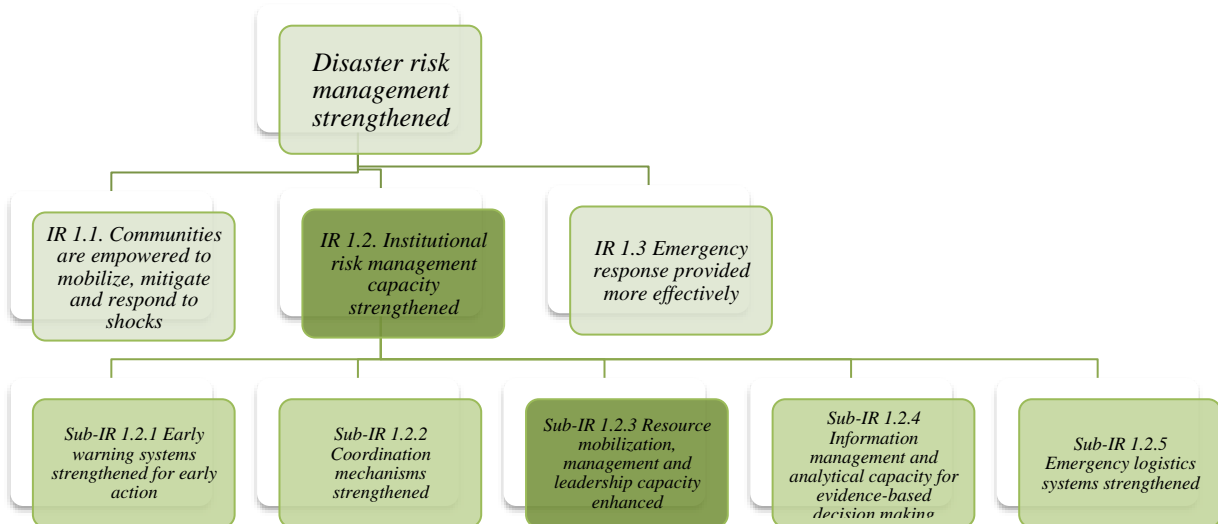
### c) Development Challenge

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<sup>2</sup> See Appendix 1 for more information about the BDU-IPS activity.

USAID Ethiopia’s overall strategy is outlined in the USAID [Country Development Cooperation Strategy \(CDCS\)](#), with an overall goal that Ethiopia transitions to a more democratic, resilient, and prosperous country with accountable institutions and private sector-led growth. Through the CDCS, USAID Ethiopia is working to strengthen DRM leadership and management capacity across all relevant line ministries and government institutions under the *Development Objective (DO) 1. “Disaster risk management strengthened; Intermediate Result 1.2 Institutional risk management capacity strengthened.”* DO1 provides an important role in enabling the success of other DOs. Left unmanaged, shocks will continue to undermine Ethiopia’s progress across all of the development objectives.

Under the CDCS, the DRM-PYL activity will contribute to the Strengthening Disaster Risk Management Systems and Institutions (SDRM-SI) Project at USAID/Ethiopia. The activity will directly support sub-intermediate result (IR) 1.2.3 *Resource mobilization, management and leadership capacity enhanced*, and will contribute to sub IRs 1.2.1 *Early warning systems strengthened for early action*, 1.2.2 *Coordination mechanisms strengthened*, 1.2.4 *Information management and analytical capacity for evidence-based decision making improved* and 1.2.5 *Emergency logistics systems strengthened*. The diagram below visualizes USAID’s DRM strategy.



**d) Relationship to Other USAID Programs and Other Actors**

**USAID:** The limited capacity of national systems to respond to shocks constrains the GoE’s leadership and delivery of effective responses to shocks. Beyond human capacity constraints which will be addressed by the DRM-PYL activity, USAID is also investing in another activity, the Disaster Risk Management-Capacity Building (DRM-CB) activity, which will tackle capacity constraints at a systems-wide institutional level.

The DRM-PYL activity shall also leverage USAID/Ethiopia's existing investments, including the Bahir Dar University Internship Program Support (BDU IPS), Household Economy Approach (HEA), National Incident Management System (NIMS) and Resilience in Pastoral Areas (RiPA) activities, along with several centrally funded USAID activities to include the Productive Safety Net Program (PSNP) Development Food Security Activities (DFSAs) and the next-generation Resilience Food Security Activities (RFSAs), and the Famine Early Warning System Network (FEWSNET).

In addition, the DRM-PYL activity shall be aligned with the objectives of USAID's investments in youth employment and planned investments in higher education, including the USAID activity Institutional Capacity Development Support to Ethiopian Higher Education Institutions, and the USAID umbrella project Ethiopia Youth Empowerment (EYE).

Finally, by strengthening the entire DRM system, DRM-PYL will have a positive contribution to global health goals. For instance, disaster preparedness reduces preventable child deaths and lowers malnutrition levels because as the system becomes more capable of managing shocks so they don't turn into crises. Therefore, the DRM-PYL activity will also leverage other USG resources, including USAID/Health and the Center for Disease Control (CDC)'s work with the Ministry of Health (MoH) and the Ethiopian Public Health Institute (EPHI) to strengthen public health systems.

**Other Donors:** USAID is one of the major donors active in disaster risk management in Ethiopia, and several other development partners are also engaged through projects. These include the European Commission's Decentralisation of Disaster Risk Management in Ethiopia project, amongst others. The Global Facility for Disaster Reduction and Recovery (GFDRR), a grant-funding mechanism managed by the World Bank, supports disaster risk management in Ethiopia through a risk financing tool called the Livelihoods, Early Assessment, and Protection index, or LEAP.<sup>3</sup> The World Bank has also previously engaged in GoE DRM capacity building through the development of woreda-level multi-hazard risk profiles. FCDO has also made significant DRM investments. USAID's DRM Capacity Building activity (DRM-CB) is implemented through a partnership with the UK's Foreign Commonwealth and Development Office (FCDO) under the Building Resilience in Ethiopia (BRE) program, leveraging FCDO and USAID resources towards common goals.

Currently the UN-International Strategy for Disaster Reduction (UNISDR), FAO, ECHO, CORDAID, CARE Ethiopia, and IIRR have established a partnership to support the disaster risk management training initiatives at Bahir Dar University. The existing advisory committee for the BDU IPS is chaired by the Early Warning Response Directorate of the NDRMC.

**The Government of Ethiopia:** The Government of Ethiopia has long worked on disaster risk management. Following the 1974 famine, the GoE developed the Relief and Rehabilitation Commission and has since built out a multi-layer, proactive disaster risk management system. The

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<sup>3</sup> LEAP is in part funded by USAID.

Disaster Management and Food Security Sector (DRMFSS) was established in 2008 under the Ministry of Agriculture, which became the National Disaster Risk Management Commission (NDRMC) in 2015 under the Deputy Prime Minister's Office, and was brought under the umbrella of the newly established Ministry of Peace in 2018. The NDRMC works at the federal level and oversees the work of the regional DRM bureaus, who oversee the disaster risk management work at the zonal and woreda levels.<sup>4</sup> At the Addis Ababa city-level, the Fire and Disaster Risk Management Commission (FDRMC), formerly the Fire and Emergency Prevention and Rescue Authority (FEPPRA), works on emergency preparedness and training through the city Fire Departments. FDRMC is the lead coordinating agency for humanitarian emergencies in Addis Ababa, except in the cases where the scale of the emergency becomes very large, in which case NDRMC intervenes as the lead.

The DRM-PYL activity shall foster inter-ministry collaboration at the national and regional level in line with the National DRM Policy and DRM Strategic Program and Investment Framework (SPIF). The SPIF mandates the establishment of a multi-hazard and multi-agency system, where assigned lead ministries are responsible for early warning, prevention, preparedness, response and recovery to specific hazards. DRM capacity of the line ministries is crucial for improving risk-informed and risk-sensitive operations of these agencies.

For example, the Ministry of Health (MoH) works on public health emergencies through its Ethiopian Public Health Institute (EPHI) and Public Health Emergency Management (PHEM) Centers at national and regional levels. The MoH activates Emergency Operations Centers when a public health emergency requires such a response. The Ministry also places PHEM focal points at the woreda level for surveillance and early detection of disease outbreaks.

The Civil Service Commission (CSC) works to formalize job descriptions for the civil service across all sectors and line ministries. The Implementing partner shall engage the CSC and any other relevant government stakeholder early on in the activity in order to develop sustained pathways for young professionals to enter government service to work on disaster risk management.

**Private sector:** UNISDR estimates that disasters cost the global economy \$2.9 billion of direct economic losses in the period 2017-2018.<sup>5</sup> Ethiopia's private sector is undergoing rapid changes, with more opportunities to expand its role in society and safeguard its profits against shocks. The BDU-IPS placed DRM Fellows within some of Ethiopia's Industrial Parks and utilized them to cascade emergency preparedness training for staff at the Parks. The DRM-PYL activity will further leverage Public-Private Partnerships to strengthen the DRM capacity building and coordination between government DRM institutions and the private sector. Strengthened disaster risk management will contribute to an enabling environment for private sector led economic growth, a core development objective under USAID Ethiopia's CDCS.

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<sup>4</sup> Regional bureaus don't exist in all regions; in some regions, DRM functions are performed by Development Agents under the Ministry of Agriculture.

<sup>5</sup> UNISDR economic cost of disasters report 2018. Goldman Sachs 2019 report.

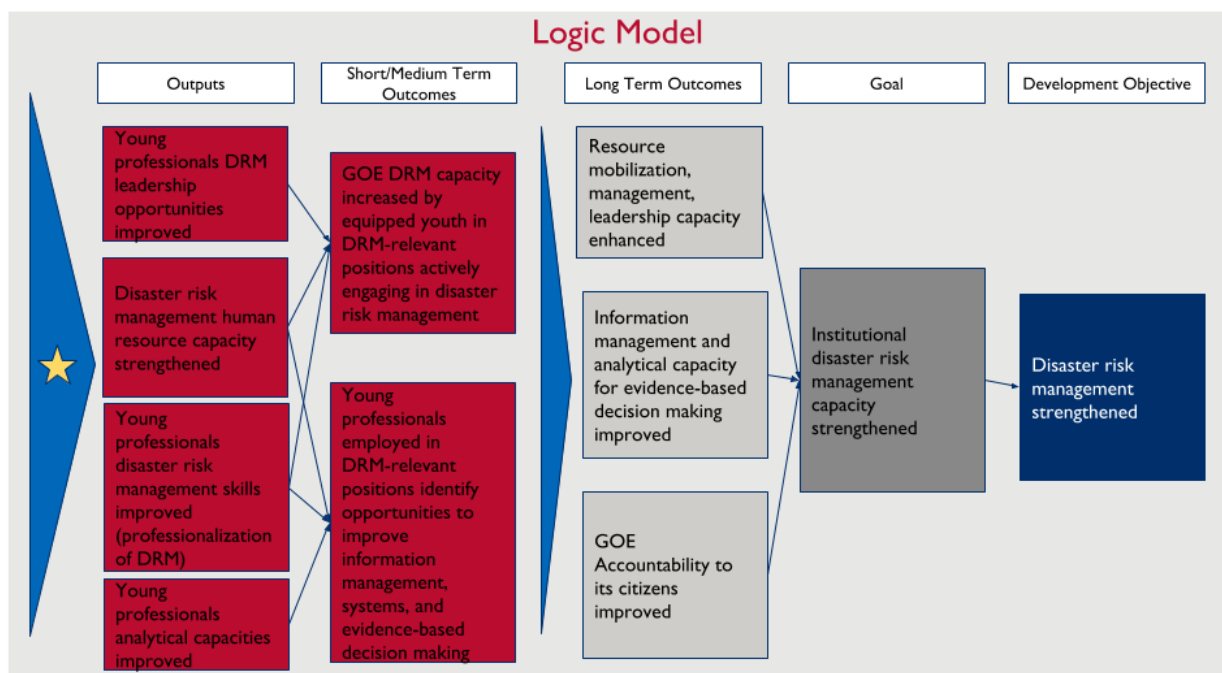
### A.3 RESULTS AND GOALS

The Disaster Risk Management Professionalization and Youth Leadership activity (DRM-PYL) will strengthen the capacity of Ethiopia’s DRM institutions by enhancing the professional disaster risk management skills of young professionals and empowering them to lead. The activity will place graduates from DRM (and other relevant disciplines) in GoE DRM institutions to gain practical skills that will increase their employability, as well as bring much needed human resource capacity to GoEs DRM institutions, filling critical staffing gaps. The activity will support technical assistance to strengthen the human resources capacity along with the integration of youth leadership opportunities into HR policy and mentorship, training and peer groups to empower youth to actively engage and ultimately lead GoEs DRM institutions. The Implementing Partner(s) will engage relevant Ministries to ensure that Fellows are competitively positioned to receive full-time employment after the completion of the Fellowship. USAID expects that the Implementing Partners facilitate and support an agreement that DRM institutions hire and promote leadership for a certain proportion of the Fellows upon successful completion of their Fellowship.

#### a) Activity Logic Model

The activity’s theory of change presumes that *if* professional opportunities in the DRM sector are provided to young professionals, these young professionals are supported through leadership development and increased analytical capacity, and human resource capacity is strengthened in the DRM sector, *then* the DRM sector will professionalize and the GoE DRM capacity to plan for, mitigate against, and respond to multi-hazard shocks will improve.

The diagram below illustrates the draft activity logic model. See the section on Program Activities for more detail on the expected activity results.



*\* Yellow Star in Diagram Above = Intervention sub-intermediate results to be developed by the IP in their proposed CLA/MEL Plan*

**Assumptions:** The theory of change assumes that if graduates from DRM (or other relevant disciplines) are placed as Fellows in GoE DRM institutions, then they will gain practical skills that will increase their employability. During their Fellowships they will bring needed human capacity to GoE's DRM institutions, filling critical staffing gaps.

If technical assistance is provided to strengthen the DRM human resources capacity of GoE institutions and GoE institutions hire the young professionals at the completion of their Fellowship<sup>6</sup>, GoE DRM-related institutions will fill empty staff positions with trained individuals, strengthening their DRM human resource capacity and providing employment opportunities for young professionals.

If leadership opportunities for young professionals are integrated into HR policies, human capacity development plans are implemented and if young professionals are supported through mentorship, training and peer groups, then they will be empowered to actively engage and eventually lead DRM-related institutions at all levels of government.

As a result, GoE DRM staff capabilities will be strengthened sufficiently to leverage the improved systems supported by other USAID activities. GOE will have strengthened institutional risk management capacity that is applied appropriately and carried through strengthened staffing and administrative structures. Disaster risk management will be strengthened and the impact of shocks will be reduced and Ethiopia will become more self-reliant.

#### **b) Expected Activity Results**

The DRM-PYL activity will strengthen the capacity of Ethiopia's DRM institutions by enhancing the professional skills of young professionals and empowering them to lead. In addition to regional level institutions, it will target zones, woredas and kebeles, with an emphasis on building human capacity at local levels of government. In summary, the activity seeks to accomplish three interrelated intermediate outcomes:

**Activity Intermediate Outcome 1:** Young professionals disaster risk management skills improved (i.e. professionalization of DRM)

**Activity Intermediate Outcome 2:** Young professionals disaster risk management leadership opportunities improved

**Activity Intermediate Outcome 3:** Disaster risk management human resources capacity strengthened

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<sup>6</sup> If GoE institutions do not hire the young professionals, these youth will have gained practical skills to complement their education that will make them employable by other organizations that support the DRM system in Ethiopia.

## **A.4 GENERAL PROGRAM PARAMETERS**

### **a) Target Beneficiaries**

The DRM-PYL activity shall target recent graduates for entry-level positions that build disaster risk management capacity at regional, zonal and woreda levels. These will be graduates from universities with formal DRM curriculums, as well as graduates from other sectors that are relevant to DRM. In addition, this activity shall target staff in human resource departments in DRM institutions to build capacity at those institutions.

### **b) Geographic Focus**

Based on initial analysis of capacity gaps and opportunities, the DRM-PYL activity shall focus in six regions of Ethiopia: Amhara, Somali, SNNPR, Afar, Tigray, and Oromia. In each region **at least one** university will be targeted for Fellow recruitment and additional DRM training support. **The list of universities shall be proposed by the applicants to the NOFO** in proposals. Submitters shall consider other USAID and donor investments at universities, conflict-sensitivity, and the operating environment when making their analysis.

Universities for consideration should include those that are already engaged with Bahir Dar University (Amhara) through the inter-university forum for Disaster Risk Reduction and Resilience Building. including the following, however the group of universities is not restricted to this list:

- Bahir Dar University (Amhara)
- Debre Tabor University (Amhara)
- Gondar University (Amhara)
- Semera University (Afar)
- Ambo University (Oromia)
- Hawassa University (SNNP)
- Jigjiga University (Somali)

Other potential universities for consideration could include the following:

- Mekelle University (Tigray)
- Addis Ababa University (Addis Ababa)
- Jimma University (Oromia)
- Haramaya University (Oromia)

### **c) Climatic Risk, Environment, Gender, and Conflict Considerations**

#### **Climate Risk**

Executive Order 13677 on "Climate-Resilient International Development" requires USAID to assess and address climate risk across all its investments. Accordingly, a climate risk assessment was conducted for the Disaster Risk Management Strengthened development objective (DO1) that covers the Disaster Risk Management Professionalization and Youth Leadership (DRM-PYL) activity. The climate risk analysis has given a "LOW" climate risk for the Disaster Risk Management Professionalization and Youth Leadership (DRM-PYL) activity on Jan 15, 2020. Activities with "Low" climate risk are not required to develop a climate risk management plan.

### **Environmental Risk**

In accordance with USAID policies and procedures related to environmental compliance ADS-Chapter 204, the Disaster Risk Management Strengthened Development Objective (DO1) prepared umbrella Initial Environmental Examinations (IEE) that covers Disaster Risk Management Professionalization and Youth Leadership (DRM-PYL) activity and got BEO's approval on 1/15/2020 and remains valid. Pursuant to 22 CFR 216.2(c)(2)(i, ii, iii, v, and xiv) the proposed activity is given a Categorical Exclusion determination from further environmental review. Specifically, this is for activities covered by the following citations in under 22 CFR 216.2(c) (2):

- (i) Activities involving education, training, and technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (iii) Activities involving analyses, studies, academic or research workshops and meetings;
- (v) Document and information transfers;
- (vi) Contributions to international, regional or national organizations by the United States which are not for the purpose of carrying out a specifically identifiable project or projects;
- (viii) Programs involving nutrition, health care, or family planning services except to the extent designed to include activities directly affecting the environment (such as construction of facilities, water supply systems, wastewater treatment, etc.);
- (xi) Programs of maternal or child feeding conducted under Title II of Public Law 480; and
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development.

Accordingly, no further environmental assessment is required.

### **Gender Considerations**

Acknowledging that DRM is a male-dominated profession, and disasters disproportionately impact women and girls, gender considerations shall be incorporated into the activity, informed by the gender analysis conducted by the Ethiopia Performance Monitoring and Evaluation Service (EPMES) Activity. For example, this gender analysis found that women's views aren't included in "community views" of emerging crises compiled at kebele and woreda levels, nor are women involved in review and analysis of the information or directly in the dissemination of early warnings that are subsequently shared. In addition, it found that capacity to analyze gender and other socio-economic data is lacking as the basis for planning and budgeting – and recommended

that gender budgeting and gender-informed programming should be included in training in DRM institutions at the kebele and woreda levels.

These gender considerations, amongst others, shall be incorporated into the DRM-PYL activity implementation and monitoring in the following ways, at a minimum:

- First, during Fellow recruitment, women graduates shall be given priority for fellowship selection and placement when their test and grade scores fall in the competitive range. In the proposals, potential Implementing Partners shall propose options for reaching gender parity in Fellowship participation, whether it be a 50% female participation target, a quota, or another measure.
- Second, as part of the DRM training provided to Fellows, curriculum shall include topics such as working with women, children, and vulnerable populations, as well as planning, implementation, and monitoring DRM activities to ensure that gender issues are properly mainstreamed and addressed in the program.
- Third, gender considerations shall be written into Fellow Terms of References, so that Fellows ensure that gender in DRM is properly addressed with different plans to empower women in the disaster preparedness cycle and in institutional risk management measures.
- Fourth, any human capacity gaps analyses shall include explicit gender gaps analysis components in order to further understand employment pathways for women in DRM work.
- Fifth, the implementing partners shall provide technical assistance on how to address human capacity gaps (e.g. through gender-sensitive human capacity development plans) in DRM-related institutions
- Sixth, the implementing partners shall work alongside the institutions to ensure DRM-related positions address obstacles to womens' participation in leadership positions.

### **Conflict Considerations**

Recognizing that universities have seen spikes in violence, and are becoming hotspots for interethnic conflict in Ethiopia, the DRM-PYL activity shall use a conflict-sensitive approach to assess the conflict context around universities in order to understand how young professionals consider conflict-related shocks in disaster risk management. The activity shall use this contextual analysis to inform activity implementation and monitoring on an ongoing basis in order to understand the ongoing conflict context in which the activity is being implemented, and the understand how the context might affect the activity and how the activity might affect the context. In addition, the Implementing Partner shall consider including a mediation/dialogue module in the pre-Fellowship DRM training provided to Fellows, which includes early warning as a means of prevention.

### **d) Management Arrangements & Management Approach**

#### **Management Arrangements**

The day-to-day management of the activity will be managed by the Implementing Partner. The Implementing Partner shall develop close working relationships with universities in various

regions, as well as other partners such as the NDRMC, regional DRM Bureaus, regional and local DRM-related institutions, the Civil Service Commission, the Ministry of Science and Higher Education, and any other relevant government stakeholders responsible for resource planning for entry-level positions including the Ministry of Finance and Economic Cooperation and the Ministry of Planning, as relevant.

This activity will be overseen by the USAID Ethiopia Office of Assets and Livelihoods in Transition (ALT) DRM team, under the oversight of USAID Ethiopia's overall Strengthening Disaster Risk Management Systems and Institutions (SDRMSI) project manager and the Development Objective 1 lead. The Agreement Officer Representative (AOR) will be a member of the ALT DRM team. The AOR will be responsible for both the strategic management of the activity, with support from the rest of the DRM team and the ALT Program and Resource Management Team (PRMT).

Traditional support will be expected from the other USAID Ethiopia support offices. Additional support may be needed from the financial management office, depending on the Implementing Partner. Technical input will be provided by the USAID Ethiopia Education and Youth team and other technical offices.

### **Management Approach**

The activity shall be managed by principles of country ownership and self-reliance. The Implementing Partner shall work within existing relationships that universities have with government entities and the private sector, and these relationships shall be leveraged through activity implementation to increase the sustainability or activity results.

The Implementing Partner and USAID shall use an adaptive management approach. Data indicates that there is a high probability of a crisis developing in the operating environment during the life of this activity. If a crisis develops, it is imperative to use adaptive management principles to respond immediately to the crisis as well as maintain development gains achieved through activity implementation up until the crisis. When/if the crisis impacts the activity's operating environment and ability to deliver results, the Implementing Partner will submit a crisis response proposal to the USAID AOR in the time period indicated by the contracting officer, following USAID Ethiopia's crisis modifier standards and procedures.

In addition, the DRM-PYL activity will coordinate closely with the SDRM-SI project-wide Developmental Evaluation. The DRM-PYL IP will work collaboratively with the Developmental Evaluation Evaluators and adapt in a timely way based on recommendations made to DRM-PYL.

#### **e) Collaborating, Learning, and Adapting (CLA)/Monitoring, Evaluation, and Learning (MEL)**

#### **Collaborating, Learning, and Adapting (CLA)**

USAID has integrated Collaborating, Learning and Adapting (CLA) into all aspects of its operations and programming to achieve better development outcomes. This involves strategic collaboration, systematic and continuous learning, and adaptive management. CLA asks:

- How do you take the time to think critically about your work? (Learning)
- How are you strategic in who you collaborate with, what you're learning? and (Collaborating)
- How do you use those learnings to change accordingly? (Adapting)

USAID expects the Recipient to have a robust activity CLA/MEL Plan that is fit-for-purpose to enable evidence-driven adapting by both the Recipient and USAID. The activity CLA/MEL Plan outlines the approaches and resources for learning opportunities for adaptation, measuring results and achievements of activity, collaborating, and adapting. Traditional monitoring and evaluation (M&E) approaches including indicator monitoring are included under the CLA umbrella, specifically the learning section. The Recipient is also encouraged to apply other complexity-aware monitoring and learning approaches such as outcome harvesting, most significant change, etc.

The Recipient will work closely with their Agreement Officer Representative (AOR) to establish fit-for-purpose learning tasks such as establishing indicators, including baseline and performance targets.

Required sections and brief instructions for the Activity CLA/MEL Plan include:

- Learning - *Guides performance management planning by setting learning and information priorities. It helps in assessing the theory of change, identify critical learning gaps important for successful program implementation; reviews the validity of assumptions; monitors the risks.*
  - Key Learning Questions - *Explain the strategic learning questions around the ToC and learning activities, tools and techniques to answer it and how the learning will be utilized. Learning activities are the means by which we generate, analyze, and synthesize learning to answer our priority learning questions. There are various types of learning activities, including situational analyses, performance and impact evaluations, performance monitoring data, context indicators, literature reviews or syntheses of existing research, generating and capturing tacit and experiential knowledge through facilitated dialogues and other participatory methods (Before Action Reviews, After Action Reviews, mid-course reviews, regular reflection exercises). Determine if a mix of learning activities could best help you answer learning questions. In determining priority learning activities, consider when learning is needed (and at what frequency) to inform key decisions.*
  - Monitoring/Indicators - *Includes performance indicators; supplemental information about each performance indicator including baseline data; targets; and Performance Indicator Reference Sheets (PIRS).*

- Note: geocoded indicator results will be collected where feasible and identified in the PIRS. See Section the GIS sub-section below.
- Evaluation/Assessments/Studies plan - *including purpose and expected use; type; estimated budget; planned start and end dates; and expected level of USAID involvement.*
- Collaboration - *Identify the approach and stakeholders who are most critical to achieving the desired development outcomes. In particular an emphasis on local stakeholders is desired to build local ownership and capacity.*
- Adapting - *Provide details on how learning and collaboration will be used to adaptively manage.*
- Enabling Environment - *Describe the culture, processes, and resources (including human and financial) need to operationalize the Activity CLA/MEL Plan.*
- Data Management Plan - *Describe appropriate data-management procedures to treat data as a strategic asset and to ensure that timely and high-quality monitoring, evaluation, research, and other data generated or acquired and are ready for analyses; accessible and usable for learning and adaptation (both now and in the future); sharable for accountability and transparency; and that the sharing and use of data come with strong privacy and security protections. Include also procedures for delivering USAID-funded data and information to USAID per award guidelines and Agency policies. The Data Management Plan MP may be developed and approved as a section of the Activity CLA/MEL Plan or as a separate plan. Reference: [ADS 579, USAID Development Data](#).*

The Recipient is expected to coordinate and work with the Mission’s mission-wide CLA Platform contractor to share learning and coordinate CLA processes including data collection.

## **Learning**

The CLA shall be designed to answer key learning questions drawn from USAID Ethiopia’s Development Objective 1 Learning Agenda. They aspire to inform future investments in institutional risk management capacity building and test different approaches for effective and sustainable support.

1. To what extent have USAID’s interventions to strengthen disaster risk management reduced the risk and impact of disasters? Which modality (empowering communities, strengthening institutional risk management, improving the effectiveness of humanitarian response) is most effective (*and most effective for vulnerable and marginalized populations*), why and how?
2. What are the dependencies and inter-relations between communities and institutions in improving DRM in the Ethiopia context? How does this relationship impact the effectiveness and efficiency of DRM? What is the sequential nature of capacities development for these different stakeholder groups to improve DRM in Ethiopia?
  - a. To what extent do the institutional strengthening interventions (to improve coordination structures, early warning systems, preparedness plans, contingency funds, mainstreaming, human resources, organizational structure, utilization of

data and information management) lead to better GOE preparedness and response to disasters? Why and how? Why does early warning not trigger a response at the community level? Are there sufficient capacity development investments/interventions at all levels of government to truly improve systems?

- b. Which DRM capacities are specific to certain shocks versus transferable across shocks?
3. In what ways and to what extent are activity-level learnings about DRM outcomes being incorporated into continuous adaptations of the project, and the Mission's DRM approach?

These questions should also be included in the Learning section of all PYL Quarterly Reports where any pertinent lessons learned should be documented and shared with USAID. USAID will facilitate sharing of these lessons learned between IPs, so any confidentiality or proprietary information concerns should be noted as and when appropriate. There may not be lessons learned for every question for each Quarterly Report, but when there are no lessons learned to share for a particular quarter that should be noted explicitly. Efforts to identify, share, and adapt based on learnings from these questions should be detailed in the PYL CLA/MEL Plan Learning sections. Learning efforts should also be documented and reported on in each Quarterly Report as part of answering Learning Question #3.

As the activity is designed to build GoE's institutional capacity to lead and deliver effective response to shocks, the CLA shall also be designed to contribute to the following USAID Self-Reliance Learning Agenda (SRLA) questions:

- **SRLA Question 1:** What are the change pathways around how capacity and commitment come together to build self-reliance, and what are the implications for USAID programs? How can we foster the capacity and commitment of all actors at different levels of the system (local, sub-national, national, and regional)?
- **SRLA Question 7:** How can USAID and its partners foster self-reliance in fragile contexts?
- **SRLA Question 10:** How can local, sub-national, national, and regional voices, priorities, and contributions be integrated into how USAID fosters self-reliance?
- **SRLA Question 11:** How can we engage local and other relevant systems such that they become more self-reliant and sustain results?

### **Monitoring**

The monitoring approach shall focus on critical performance monitoring data, with exact indicators to be defined by the Implementing Partner. Monitoring efforts shall include quantitative and qualitative data collection approaches, and that will feed into periodic analysis, learning and decision-making and contribute to USAID Ethiopia's SDRM-SI project's Learning, Monitoring, and Evaluation (LME) plan. The activity's routine monitoring will also feed into the USAID Mission's Development Information Solution (DIS) as appropriate. At frequent intervals (to be determined jointly between USAID and the Implementing Partner), there shall be formal 'pause and reflect' sessions with all extended partners and USAID to reflect on learnings and integrate these learnings into the next year's work plan. The activity shall incorporate adaptation

components to respond to the entire SDRM-SI project, in order to continue to connect with the monitoring, evaluation, and learning efforts of the other USAID DRM activities in the portfolio.

A significant part of the approach to understanding institutional strengthening across the DRM portfolio at USAID/Ethiopia will be to leverage Organizational Capacity Assessments (OCATs). As such, the PYL activity should plan to conduct an OCAT baseline and endline to assess the capacity of DRM at all institutions where Fellows are placed. This should be included as part of the official Terms of Reference as a minimum requirement for institutions to receive a Fellow. The OCAT should be conducted before the Fellows start date and at the end of the placement term or within the last six months of the PYL activity period of performance, whichever comes first. Data from these OCATs, as well as the comparative assessment should be shared with USAID/Ethiopia when completed and incorporated into Quarterly or Annual reports as this data feeds into key SDRM-SI indicators across activities.

*Performance Monitoring Indicators:*

Indicators of the activity will be reported regularly and incorporated into the USAID Ethiopia's indicator reporting system. The following performance monitoring indicators shall be tracked, at a minimum:

- Number of institutions with improved capacity to assess or address risks supported by USG assistance [CDCS IR 1.2]
  - Percent of USG-assisted organizations with improved performance (CBLD 9) [CDCS IR 1.2]
- Number of early action decisions made based on early warning information [IR 1.2.1]
- Number of Fellows trained in pre-Fellowship module (sex and disability disaggregated)
- Percent of Fellows who complete training versus those who were recruited (sex and disability disaggregated)
- Number of Fellows graduated from the two-year Fellowship program (sex and disability disaggregated)
- Number and % of beneficiaries retaining disaster preparedness, mitigation and management knowledge two months after training and technical assistance (sex disaggregated)
- Number of institutions where Fellows are placed (type and level of institution disaggregation)
  - Number of central and line ministries, regions and woredas with following existing or improved disaster risk management capacities [SubIR 1.2.3]
    - Dedicated disaster risk reduction or management directorate, structure and expert staff in related sectors.
- Percent of signed TORs with DRM as core responsibilities/tasks
- Number of Fellows with established and mutually agreed upon TORs with hosting institution
- Number of DRM plans, policies, and/or curriculum developed with Fellow support/input
  - Number of community-derived risk management plans formally proposed, adopted implemented or institutionalized with USG assistance (subset of RESIL 1 Number

of host government or community-derived risk management plans formally proposed, adopted implemented or institutionalized with USG assistance) [from CDCS SubIR 1.1.3]

The DRM-PYL activity shall feed into higher level project-level context monitoring indicators for USAID Ethiopia's overall SDRMSI project.

### **Evaluation**

The DRM-PYL activity should plan to conduct a summative performance evaluation. The methodology can be determined based on the final refined suite of evaluation questions, but the evaluation design should at a minimum include:

1. Inclusion of "Effectiveness"<sup>7</sup> as a primary evaluation criteria for any evaluative efforts undertaken as part of the activity CLA/MEL Plan; and,
2. Incorporation of the following evaluation questions:
  - a. To what extent has the PYL activity contributed to the reduction of risk and impact of disasters?
    - i. To what extent has the PYL activity led to better preparedness and response to disasters by the Government of Ethiopia (unit of analysis: institutions where Fellows are placed)?
  - b. What are the dependencies and inter-relations between communities and institutions in improving DRM as captured by DRM Fellow integration at the woreda level?
  - c. Which DRM capacities are specific to certain shocks versus transferable across shocks? (leveraging the OCAT data against disaggregation of response data by type of shocks across institutions where Fellows are placed)

In addition, the DRM-PYL will feed information into and respond to recommendations from a USAID Ethiopia Project-level (SDRM-SI) developmental evaluation to (1) ensure the DRM-PYL activity continually interacts with the other activities in USAID Ethiopia's DRM systems-level Project, and (2) to assess whether the DRM-PYL Fellowship program is effectively filling ongoing human capacity gaps in DRM institutions.

This SDRM-SI Project-level developmental evaluation will identify gaps in the following areas:

1. Placement of Fellows at different levels of government DRM-related institutions;
2. Placement of Fellows in areas where USAID has other DRM and resilience investments versus areas where it doesn't;
3. Spillover effect of DRM-related skills and knowledge from Fellows to their colleagues;
4. Pathway to scale up the Fellowship, including analysis of ongoing human resourcing gaps and obstacles;
5. Technical assistance for human capacity development to DRM-related institutions;

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<sup>7</sup> <https://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

6. How women and persons with disability are treated in the Fellowship program and opportunities to overcome these obstacles; and
7. Gaps and opportunities for women and persons with disabilities in a professionalized DRM space.

The evaluation time frames, budgets, work days, and methodologies shall be co-decided between USAID and the Implementing Partner.

#### **f) Data and Reporting Requirements**

##### **Development Information Solution (DIS)**

In compliance with ADS 201 and ADS 579 regarding data reporting, once the Activity CLA/MEL Plan is approved, the Recipient must submit all performance management information into the Development Information Solution (DIS) at the required frequencies. Data that shall be submitted to DIS include:

1. Indicator results (baseline and targets will be entered by USAID based on the approved Activity CLA/MEL Plan)
2. Intervention locations (including status, start and end dates and approximate financial resources for each location).
3. Submission of reporting period progress reports including supplemental and supporting materials.

The AOR will provide DIS system access instructions and training materials as necessary.

##### **Geographic Information Systems (GIS)**

ADS 579 establishes the requirements governing USAID's development data lifecycle from collecting data to making it accessible. To fulfill the requirements of ADS 579 and promote best practice geographic data collection and management, the following defines standards that apply to geographic data associated with planning, managing, and implementing USAID/Ethiopia development programming.

The Recipient must apply methods to support USAID/Ethiopia's efforts to incorporate geographic data and analysis into USAID's overall development planning, design, and CLA. The Recipient must include geographic data collection, analysis, and submission methods in the CLA/MEL Plan and Work Plans as separate sections. There are four types of geographic data that the USAID/Ethiopia requires in a standardized manner:

1. **Activity and Intervention Location Data:** The Recipient must submit Activity and Intervention Location Data according to the Mission's data requirements into DIS. Activity and Intervention Location Data refers to data that records a discrete point location for activity and intervention sites. When point data is not available, presence

data of activities or intervention at the Woreda (Admin 3) level should be submitted into DIS. Reference [Activity Location Data \(ADS 579mab\)](#)

2. **Monitoring Data:** Geographically disaggregated indicator data that are used to investigate the geographic variation in performance for improved monitoring, learning, and adapting. Indicator data should be collected at the smallest administrative unit or point location possible. The performance indicator reference sheet (PIRS) should denote the level of collection. (Reference: [Monitoring Data Disaggregation by Geographic Location](#)).
3. **Thematic Data:** This refers to data such as demographic and health indicators, land use land cover, hydrology, and transportation infrastructure. When the Recipient creates or acquires such data sets using USAID funds, it must submit them to the AOR.
4. **Activity Specific Geographic Data:** This refers to data such as the analytical output of a geographic analysis that is conducted while implementing an Activity. An example would be performing a geographic analysis of access to university employment services, when the Recipient creates or acquires such datasets and analysis using USAID funds it must submit them to the AOR.

### **GIS Data Submission**

The Recipient must submit all geographic data to the AOR and it will be reviewed in consultation with Program Office or other technically qualified USAID staff to ensure that it meets the geographic data reporting requirements and minimizes risks. When possible, data should be submitted via DIS, for datasets that cannot be submitted to DIS, consult with the AOR for submission options including possibly loading to the Data Development Data Library (DDL). The Recipient should not submit personally identifiable information (PII, i.e. identify individuals in data submissions).

Geographic Data must be submitted in industry standard formats such as Shapefile (.shp) or GeoTIFF, GeoJSON, or in a File Geodatabase. Cartographic products generated using GIS technology shall be submitted in the industry standard formats of an Esri Map Document (.mxd) or Quantum GIS Project (.qgs). All datasets should include metadata.

Below are some standards for data sets submitted to USAID/Ethiopia:

Coordinate System/Datum: EPSG:4326 or WGS 84

Coordinate Format: Decimal Degrees (DD.DDDDDD) with at least 6 decimal places

Accuracy Level: Less than 15 meters

#### References:

[Geographic Data Collection and Submission Standards \(ADS 579saa\)](#)

### **Non-Spatial Data and Software**

All data the Recipient creates, collects, purchases, or acquires that supports the objectives of the activity shall provide a copy of data to USAID through a system provided by USAID including the Development Data Library (DDL).

The Recipient shall provide USAID all processed intermediate and raw data when requested.

**Software:** If the Recipient develops software such as applications/apps to process activity-related data, the Recipient must provide such software, documentation of the software, and copy and source code of the software to USAID. If the implementer develops an online repository of project-related information, then it is mandatory for the implementer to provide USAID/Ethiopia full access to this information, including the right to extract data. If the implementer buys software with significant resources, prior to purchase, the implementer must coordinate with USAID with regards to its use after the project closes out.

### **Reporting**

**Financial Reports:** Recipients of USAID funding must submit the Federal Financial Report (SF-1032) and technical quarterly report via electronic submission on a quarterly basis to the AOR and USAID Ethiopia's Financial Management Office. **Performance Reports:** Periodic performance reports are required quarterly within 30 days following the end of the reporting quarter. The last quarterly report of the reporting period shall be replaced by an annual report summarizing the entire previous year's accomplishments is required. Both periodic and annual progress reports must meet the general requirements including executive summary, summary table for results of indicators with corresponding targets, correlation with award monitoring plan and financial summary. **Final Report:** The final/completion report shall also contain an index of all reports and information products produced under this agreement. The report shall be submitted within 90 days after the estimated completion date of this agreement.

## **A.5 PROGRAM ACTIVITIES**

The DRM-PYL activity will be work plan driven and shall seek to strengthen the capacity of Ethiopia's DRM institutions by enhancing the professional skills of young professionals and empowering them to lead. In addition to regional level institutions, it shall target zones, woredas and kebeles, with an emphasis on building human capacity at different local levels of government. The activity seeks to accomplish three interrelated intermediate outcomes:

**Activity Intermediate Outcome 1:** Young professionals' disaster risk management skills improved (i.e. professionalization of DRM)

The effectiveness of Ethiopia's DRM institutions is limited by the number and skills of their staff, with staffing gaps across all levels of government. Interventions under this line of effort will provide students with the DRM education they need to be effective in the workplace (if they do not already come from a DRM academic background), and the professional skills they need to improve their employability.

Illustrative elements/components:

1. Alongside selected universities and government DRM institutions, identify appropriate Fellowship placements, supervisors, and mentors for recent university graduates from DRM programs and other relevant programs, and develop two-year Fellowship Terms of References alongside with local-level government DRM institutions with Civil Service Commission input. Fellowship Terms of References should include components for community-level accountability and use of analytical decision-making tools such as HEA and the NIMS system;
2. Identify and place<sup>8</sup> recent university graduates as Fellows in DRM institutions to provide opportunity to gain practical skills. Fellows will be paid a stipend during the Fellowship, aligned with the civil service salary scale, with the agreement that DRM institutions will hire and promote leadership for a certain proportion of the Fellows upon successful completion of their Fellowship. Note that GOE cost-sharing for the Fellowship stipends will be discussed during the pre-award virtual co-creation (see Annex 3 and Section E.2.c) to build organizational commitment for mobilizing human capacity monetary resources in the disaster risk management sector. See Annex 3, Co-Creation and Refine & Implement Guidance for DRM-PYL.
3. Oversee the lifecycle of the two-year Fellowship with administrative support to universities and to the placed Fellows. Note that the duration of service of each Fellow will be twenty-four months, therefore the Fellowship shall have an estimated 150 Fellows in Year 1, another 150 Fellows in Year 2 (for a total of 300 in the Fellowship Program in Year 2) and so on. See the table below for a sample Fellow cohort plan.

	Years of Implementation/ Rounds and Numbers of Fellows						TOTAL new Fellows/Co hort
	2021 (1st yr)	2022 (2nd yr)	2023 (3rd yr)	2024 (4th yr)	2025 (5th yr)	2026 (?)	
Cohort 1	150	(150)					150
Cohort 2		150	(150)				150
Cohort 3			150	(150)			150
Cohort 4				150	(150)		150
Cohort 5					150	(150)	150

<sup>8</sup> The placement of Fellows will be conducted in annual rounds. Their organizational placements shall be decided by the Implementing Partner in consultations with USAID, GoE partners, and university partners.

TOTAL Active Fellows in the program/ Year	150	300	300	300	300	150	750 TOTAL fellows through the program
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4. Work with selected universities to develop a 4-6 week DRM training module<sup>9</sup> and provide technical assistance to the universities to deliver the annual training for Fellows (for those from non-DRM specific academic programs, at a minimum) prior to placement as Fellows in government DRM-related institutions;
5. Maintain regular check-ins with Fellows, monitor samples of Fellow work plans with selected supervisors, and make adjustments to future Fellowship Terms of References based on feedback.

**Activity Intermediate Outcome 2:** Young professionals’ disaster risk management leadership opportunities improved

Youth are the future of Ethiopia’s DRM institutions and cultivating their leadership skills is an investment in the long-term effectiveness of government institutions. Interventions under this line of effort will aim to create an enabling environment and empower young professionals to become engaged disaster risk management professionals and prepare them to eventually lead Ethiopia’s DRM institutions.

Illustrative elements/components:

1. Integrate leadership opportunities for young professionals into HR policy within DRM-related institutions;
2. Support youth leadership in DRM-related institutions through mentorship and ongoing training opportunities in technical areas and soft skills during their two-year Fellowships on a range of professional development topics that are co-determined by the Fellows. Note that some of these periodic trainings might be held virtually to accommodate evolving COVID-19 travel restrictions;
3. Establish peer groups for Fellows to foster regular intra- and inter- institution engagement throughout the Fellowship. Establish additional mentoring program or support mechanism for young women;
4. Support Fellows with immersion opportunities such as visits to DRM institutions at multiple levels of government to allow Fellows to understand the gaps and linkages between DRM policy and action, and to share learnings across regions;

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<sup>9</sup> Note that some of this training might need to be held virtually as COVID-19 and security-related travel restrictions evolve in Ethiopia.

5. Facilitate the creation of an Fellow alumni network/ forum to continue to connect and support graduates of the Fellowship program as their professional development challenges evolve.

**Activity Intermediate Outcome 3:** Disaster risk management human resources capacity strengthened Interventions under this line of effort will target some of the systemic challenges to developing a professionalized DRM workforce. It will complement interventions under the DRM-CB activity that will bring external technical assistance into this space.

Illustrative elements/components:

1. Create a multi-sectoral, multi-stakeholder Consortium and agreement between government partners, universities, and ministry officials to support the start-up, expansion, and sustainable financing of the multi-region two-year Fellowship program (with multiple Fellow cohorts) outlined above under Activity Intermediate Outcome 1.
2. Engage with the Civil Service Commission to (a) improve their understanding of the training provided by DRM courses, (b) gather their input on position descriptions in order to formalize entry-level DRM jobs, and (c) advocate for dedicated DRM positions at selected line ministries and local government offices;
3. Assess human staffing and resources gaps in DRM-related institutions on an ongoing basis and let this inform Fellowship placements; Share this information back to universities for revision and improvement of university curriculum to help make university education demand driven;
4. Provide technical assistance on how to address human capacity gaps (e.g. through gender-sensitive human capacity development plans) in DRM-related institutions, selected line ministries, and regional, zonal and woreda offices; work alongside the institutions to ensure DRM-related positions are budgeted for annually, and that they address obstacles to womens' participation in leadership positions.

#### **Appendix 1. Background on the Bahir Dar University Internship Support Program (BDU-IPS)**

**Building on a Previous Activity:** The DRM-PYL activity will build on the Bahir Dar University Internship Support Program (BDU-IPS) (2013-2021) (See which was a small-scale initiative that yielded both positive results and learning. The Bahir Dar University, Department of Disaster Risk Management and Sustainable Development (DRMSD) was established in 2005 by a joint committee of experts (Bahir Dar University, Save the Children/UK and Canada and DPPC) within the Faculty of Agriculture and Environmental Sciences as a response to an identified need to build more resilient communities through strengthened capacity and sustainable development in Ethiopia. The DRMSD Department at the BDU is one of the few programs in the country that provides DRM training, and provides support to the NDRMC through this internship program. BDU Interns were placed in the National Disaster Risk Management Commission (NDRMC), its regional offices, and the Fire and Emergency Prevention and Rescue Agency (FEPPRA). Interns worked/work in five strategic areas: Early Warning System, the DRM-Strategic Program Investment Fund, Early Recovery, Volunteer Mobilization Scheme, and Woreda Risk Profiling.

The table below shows the number of interns enrolled in the program since 2013 by entity and location.

No	Interns Assigned by Institution	Year of implementation/rounds							TOTAL
		2013 (1st)	2014 (2nd)	2015 (3rd)	2016 (4th)	2017 (5th)	2018 (6th)	2019 (7th)	
1	NDRMC-Addis Ababa	12	0	5	5	9	4	-	35
2	Regional Disaster Prev.& Prep. Bureau	8	14	9	7	10	1	2	51
3	FEFRA – Addis Ababa	0-	13	7	8	0	9	10	47
4	Industrial Parks	-	-	-	-	-	10	9	19
5	Eth. Red Cross						2		2
	TOTAL	20	27	21	20	19	26	21	154

**Learning from the Major Achievements of the BDU-IPS:** Interns filled the gap of DRR/DRM offices in response coordination, needs assessment, information management and reporting, and DRR planning. Out of the 154 placed internship participants, 70% of them have so far retained permanent jobs with their hosting organization (Addis Ababa FEFRA/FDRMC employed 100% off the interns permanently), and the rest are continuing their MSc. Education or still within their internships. Interns gained practical DRM knowledge, professional experience, and an understanding of how the government and international humanitarian partners operate on DRM. Furthermore, BDU has improved their DRMSD curriculum by incorporating information and experience gained from the interns. While an evaluation of the BDU-IPS is not scheduled, the AOR will undertake an internal review of the performance of the activity, which will inform the activity implementation of the DRM-PYL activity.

[END OF SECTION A]

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

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

USAID/Ethiopia intends to award one to one Cooperative Agreement(s) pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID/Ethiopia intends to provide about US\$7.68 million in total over five years. Given the use of MCH funds for this activity, the Implementing Partner must be able to meet the USG Protecting Life in Global Health Assistance (PLGHA) requirements.

USAID reserves the right to fund any or none of the applications.

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

The anticipated period of performance is five years. The estimated start date will be July 1, 2021.

### **B.3 Substantial Involvement**

#### **1. Type of Award and Substantial Involvement**

USAID plans to negotiate and award an assistance instrument known as a Cooperative Agreement with the successful applicant for this program. Potential applicants should note that USAID policy prohibits the payment of fee/profit under assistance instruments.

A Cooperative Agreement implies a level of “substantial involvement” by USAID (see ADS 303.3.11). This substantial involvement will be through the Agreement Officer, except to the extent that the Agreement Officer delegates authority to the Agreement Officer’s Representative (AOR) in writing. The intended purpose of the substantial involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The anticipated substantial involvement elements for this award are listed below (this list does not include approvals required by Standard Mandatory Provisions for Non-US NGOs or other applicable law, regulation or provision):

**3.1. Approval of the Recipient's Implementation Plans**, including but not limited to, annual work plans, life-of-project exit strategy, and any subsequent revisions of such plans. If at the time of award, the program description does not establish a timeline in sufficient detail for the planned achievement of milestones or outputs, USAID may delay approval of the recipient’s implementation plans for a later date. USAID must not require approval of implementation plans more often than annually. If the AO has delegated authority to the AOR to approve implementation plans, the AOR must review the agreement’s terms and conditions to ensure that changes to the terms and conditions are not inadvertently approved by the AOR.

**3.2. Approval of Specified Key Personnel** USAID may designate as key personnel only those positions that are essential to the successful implementation of the Recipient’s program. USAID’s

policy limits this to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater.

**3.3. Agency and Recipient Collaboration or Joint Participation** in implementation, including, but not limited to, participation in advisory committees and direction and/or redirection of activities specified in the program description due to GoE priorities and guidance as well as interrelationships with other programs;

- a) **Concurrence on the Substantive Provisions of Sub-Awards.** 2 CFR 200.308 already requires the recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of work under an award.
- b) **Approval of the Monitoring Evaluation & Learning Plan** – the ME&L Plan will be developed in consultation with USAID/Ethiopia. During the initial project planning period, the recipient shall work closely with USAID/Ethiopia to ensure that the ME&L plan clearly links the Recipient's activity with the objectives and targeted outcomes of the Program Description. The jointly developed ME&L plan shall be submitted within 90 calendar days of the award;
- c) **Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects.** All such activities must be included in the program description, negotiated in the budget, and made part of the award. Direction of Redirection of activities specified in the program description due to GoE priorities and guidance as well as interrelationships with other programs;
- d) **Collaborative involvement** in selection of advisory committee members and participation in the advisory committee, if the program will establish an advisory committee that provides advice to the recipient;

**3.4. Agency Authority to Immediately Halt Construction.**

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

The geographic code for the procurement of commodities and services under this program is 935.

#### **B.5 Nature of the Relationship between USAID and the Recipient**

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the DRM\_PYL Activity which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

## **B.6. Selection of Instrument**

Due to the nature of the collaboration implicit in the DRM-PYL award, USAID/Ethiopia believes that a Cooperative Agreements (in which substantial involvement will include approval of Implementation Plans, Key Personnel, and Agency and Recipient Collaboration or Joint Participation) will likely be the primary vehicle for this initiative, but the actual award type or engagement will depend upon the most appropriate mechanism or approach for the intended results.

[END OF SECTION B]

## SECTION C: ELIGIBILITY INFORMATION

### C.1 Eligible Applicants

Eligibility for this NOFO is not restricted. However, USAID/Ethiopia is targeting new and underutilized partners in accordance with NPI.

#### **New Partnerships Initiative (NPI)**

USAID encourages Applicants to align with the principles of the New Partnerships Initiative (NPI). NPI will allow USAID to work with a more diverse range of partners, strengthen existing partner relationships, and provide more entry points for organizations to work with the Agency. The principles behind NPI are outlined in the Agency's first-ever [Acquisition and Assistance \(A&A\) Strategy](#).

Under NPI, there are multiple modalities for new and underutilized partners to do business with USAID. There are also opportunities for traditional partners to receive awards. Under NPI, USAID/Ethiopia envisions four possible paths for engagement, each intended to offer different entry points for working directly or indirectly with new, underutilized, or established organizations.

1. Direct awards to new<sup>10</sup> and underutilized organizations that are local entities<sup>11</sup> in the host country or countries for which the Applicant is applying. New and underutilized partners may apply for direct funding via this NOFO. Applicants are eligible if they have received less than \$25 million<sup>12</sup> cumulatively in direct or indirect awards from USAID over the past five (5) years.
2. Direct awards to new and underutilized organizations that are locally established partners<sup>13</sup>, in the host country or countries for which the Applicant is applying. U.S.-based or international partners are eligible if they have (1) received less than \$25 million cumulatively in USAID funding over the past five (5) years; and (2) currently have additional, non-U.S. Government funding streams that exceed total funding received worldwide from USAID (e.g., if an Applicant has implemented \$5 million in USAID funding, it must demonstrate at least \$5 million in funds worldwide from sources other than the U.S. Government).

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<sup>10</sup> For additional information on the definition of a new entity, see <https://procurement.inl.gov/Small-Business-Program/Shared%20Documents/DUNS%20FAQ.pdf>. Note that USAID reserves the right to consider any funding received from an entity's parent or affiliate for purposes of determining whether an entity meets the eligibility criteria.

<sup>11</sup> As defined in Automated Directive System (ADS) Chapter 303.

<sup>12</sup> \$25 million dollars received refers to actual payments made by USAID to the Applicant in the five years prior to the date of the application submission. During the co-creation phase the OAA team will work with CFO to adjudicate any issues of eligibility. Further, if invited to the Request for Application (RFA) stage, Applicants will need to submit their Representations and Certifications as part of the Application.

<sup>13</sup> LEPs are organizations that generate significant private development assistance and support effective program models through locally-led operations that strengthen partner country capacity and commitment for self-reliance.

3. Sub-awards<sup>14</sup> to new or underutilized partners via prime awardees that serve in a limited mentorship role. NPI seeks to shift USAID from viewing successful local capacity building as a local organization's ability to receive and manage federal funding directly to measuring success by the strengthened performance of local actors and local systems in achieving and sustaining demonstrable results. NPI recognizes the important role and capacity that "established partners" (defined as those that already have a financial relationship with USAID above the NPI threshold of \$25 million in the last five years) play in advancing this vision of effective local capacity development. This modality will empower established partners to build the capacity of local and locally established partners to deliver results for the stakeholders they serve, while also providing these local partners with the direct or indirect support they need to meet the requirements associated with awards from the U.S. Governments. Established partners will play a support role to build the capacity of new and underutilized partners to improve their performance as development actors in a number of ways (e.g., through technical oversight, compliance support, and mentoring). NPI envisions two modalities of support under this approach:
  - a. Modality 3a: Local Entity Sub-Awardees That Move to Direct Awards: Prime awardees must pass a percentage of the total funding<sup>15</sup> of their awards, to local sub-awardees, with a goal of moving them to qualify for direct awards. In appropriate cases, USAID might pursue prime/mentor awards with a provision for transition awards<sup>16</sup> to some local entities during the life of the award.
  - b. Modality 3b: Local and Locally Established Partner<sup>17</sup> Sub-Awardees: Prime awardees must pass a percentage of the total funding of their awards, only to sub-awardee local partners or locally established partners (LEPs). An award could also have a structure in which the prime partner receives a declining percentage of the value of the award year-on-year (e.g., from 25 percent in Year 1 to 20 percent in Year 5).
4. Direct Awards to Partners to Leverage Private/Non-U.S. Government Funding: NPI also seeks to support partnerships with organizations that can leverage their own private (or non-U.S. Government) funding, in recognition of the important dual-role that many established partners have as both implementers and fundraisers. Organizations of all types (academia, non-profit, private-sector, host governments, etc.) can apply, including organizations that have received more than \$25 million in USAID funding through an award or sub-award in the past five (5) years. Awardees must propose additional

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<sup>14</sup> If an HEI is applying as a prime, NICRA rates should not be applied to the proposed amount of the award that will be given as subawards.

<sup>15</sup> Addenda must specify a minimum of 50 percent of total funding would go to the new and underutilized partners to implement through sub-awards, but may choose a larger minimum percentage amount.

<sup>16</sup> USAID's intent that the initial award recipient would develop the capacity of the sub-recipients so that the sub-recipients would be eligible to receive a direct award from USAID or other donors in the future. Concept Notes proposing this modality should include criteria for the prime recipient to identify and qualify a sub-recipient for a direct award, Procedures for making the direct award, and a timeframe for when the direct award will be considered, including the limits of USAID funding of the initial award for activities of the sub-recipient.

<sup>17</sup> A U.S. or international organization that works through locally-led operations and programming models. See <https://www.usaid.gov/npi/npi-key-definitions> for additional information.

leveraged funds worth a minimum of 50 percent of the total value of the award they seek from USAID; this can include in-kind contributions, and non-Federal grants and external awards.

USAID will not accept applications from individuals.

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

USAID has established a mandatory minimum recipient cost-share of 5% of projected award amount for the award, in order to support buy-in and ownership over the processes for recruitment, placement, and Fellow support amongst the implementing partner, universities, and GOE DRM institutions.

Cost sharing may be provided directly by the Recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation activities at the country level. This may include contribution of staff level of effort, office space or other facilities or equipment which may be used for the program, provided by the Recipient. For guidance on cost sharing in grants and cooperative agreements, see 2 CFR 200.306.

## **C.3 Number of Applications that May be Submitted**

Any one entity/organization may submit one (1) application for funding in response to this Notice of Funding Opportunity NOFO as a prime awardee.

[END OF SECTION C]

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

### **D.1. Agency Point of Contacts**

Name: Mr. Belay Teame  
Title: Acquisition & Assistance Specialist, USAID/Ethiopia  
Email Addresses: [bteame@usaid.gov](mailto:bteame@usaid.gov) and [caddis@usaid.gov](mailto:caddis@usaid.gov)

Name: Mr. Kevin Sampson  
Title: Agreement Officer, USAID/Ethiopia  
Email Addresses: [ksampson@usaid.gov](mailto:ksampson@usaid.gov)

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

Questions regarding this NOFO should be submitted through e-mail addresses to both [caddis@usaid.gov](mailto:caddis@usaid.gov) and Belay Teame at [bteame@usaid.gov](mailto:bteame@usaid.gov). The subject line must state “Questions DRM-PYL 72966321RFA00002” no later than the date and time indicated on the cover letter, as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

### **D.3 General Content and Form of Application**

USAID/Ethiopia will accept applications from the qualified entities as defined in Section C of this NOFO. The Applicant should follow the instructions set forth herein. If an applicant does not follow the instructions, the application may be down-graded and may not receive full credit under the applicable merit review criteria, or, at the discretion of the Agreement Officer, be eliminated from the competition.

#### **Preparation of Applications:**

Each applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: - the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Notice of Funding Opportunity Number: 72066321RFA00002  
 Disaster Risk Management Professionalization and Youth  
 Leadership (DRM-PYL)

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

Notice of Funding Opportunity (NOFO) number:	72066021RFA00002
Applicant name:	
Project title:	
Total USAID funds requested:	
Proposed period of performance:	
Applicant's full address and telephone number (primary or lead applicant)	
Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address)	
Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.	
Name and Signature of Individuals authorized to negotiate terms, conditions and countersigns the award (title/ position, email address, telephone number)	
<i>DUNS numbers of applicants and sub-awardees/ partners. Tax identification number, and Letter of Credit (LOC) number for the applicant, if available.</i>	

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

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

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- Written in English.
- Use standard 8 ½" x 11", single sided, single-spaced, 12 point Times New Roman font, 1" margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant's name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- Submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF format as appropriate.
- The Cost Schedule must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

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

#### **D.4 Application Submission Procedures**

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications will not be reviewed nor considered. Applicants must retain proof of timely delivery in the form of system generated documentation of delivery receipt date and time and/or confirmation from the receiving office.

##### **Email submission**

Applications must be submitted by email to [caddis@usaid.gov](mailto:caddis@usaid.gov) with a copy to Mr. Belay Teame at [bteame@usaid.gov](mailto:bteame@usaid.gov). Email submissions must include the NOFO number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

Telegraphic or faxed or hard copy applications are not authorized for this NOFO and will not be accepted.

Applicants may upload applications to <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

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

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server.

There may be a problem with the receipt of \*.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID/Ethiopia cannot guarantee their acceptance by the internet server.

Each email with file attachments must not exceed 20MB in size.

#### **D.5 Technical Application Format**

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

The Technical Application should consist of the following:

- (a) Cover Page (as discussed above);
- (b) Table of Contents

Include major sections and page numbering to easily cross-reference and identify merit review criteria.

- (c) Executive Summary (one page)

The Executive Summary must provide a high-level overview of key elements of the Technical Application.

- (d) Technical Application Body (not to exceed twenty (20) pages excluding annexes);

Based on the Merit Review Criteria, the Technical Application Body will contain the following sections:

1. Technical and Implementation Approach;
2. Collaborating, Learning and Adapting (CLA)/Monitoring, Evaluation, and Learning (MEL) Plan;
3. Management Approach, Staffing Plan, and Key Personnel; and
4. Organizational Capacity and Experience.

The basic purpose of the Technical Application Body is to provide the information necessary to allow USAID/Ethiopia to fairly and completely evaluate the applicant under each of the merit review criteria specified in Section E of this NOFO. Additional specific guidance for each Section of the Merit Review Application Body is set forth below.

### **1. Technical and Implementation Approach**

The Technical and Implementation Approach is the most important part of the proposed activity. It shall demonstrate the Applicant's capabilities and expertise with respect to achieving the goal of this activity. It shall present a convincing approach to achieve the expected results, and it shall be specific, complete, and presented concisely. The technical approach for the DRM-PYL activity should be aligned with USAID's other DRM investments, as laid out in the Program Description.

As part of the approach, the Applicant shall outline an Implementation Plan (Work Plan), which must include illustrative planned activities for the activity's first year, planned events, planned expenditures, proposed target universities, activity locations, knowledge management plans, international travel (if any), training and other capacity building efforts, and details on target activity participants (ie. young professionals, universities, government and private sector partners). It should also include a draft Schedule of Milestones from the beginning to the completion of the full program, including all deliverables and plans for dissemination for reports and information.

### **2. Collaborating, Learning, and Adapting (CLA)/ Monitoring, Evaluation, and Learning (MEL) Plan**

The Applicant must include a clear fit-for-purpose Collaborating, Learning, and Adapting (CLA) Plan that outlines how the Applicant will utilize strategic collaboration, systematic and continuous learning, and adaptive management to achieve improved development outcomes. CLA asks:

- How do you take the time to think critically about your work? (Learning)
- How are you strategic in who you collaborate with, what you're learning? and (Collaborating)
- How do you use those learnings to change accordingly? (Adapting)

USAID expects the Recipient to have a robust CLA/MEL Plan that is fit-for-purpose to enable evidence-driven adapting by both the Recipient and USAID. The CLA/MEL Plan outlines the approaches and resources for learning opportunities for adaptation, measuring results and achievements of activity, collaborating, and adapting.

Traditional monitoring and evaluation (M&E) approaches including indicator monitoring are included under the CLA umbrella, specifically the learning section. The Recipient is also

encouraged to apply other complexity-aware monitoring and learning approaches such as outcome harvesting, most significant change, etc.

### **3. Management Approach, Staffing Plan, and Key Personnel**

The Applicant must include a clear management plan for the proposed activity including key personnel, sub-award structure (if proposed), technical and administrative management oversight, strategic partnership coordination, and oversight of design, development, key initiatives and capacity strengthening activities.

- I. Management approach and staffing plan narrative with an accompanying organizational chart (as an Annex) that illustrates the management structure of both full time and non-full time staff for prime and all subcontractors (if applicable).
- II. Applicants shall propose positions that will be considered key personnel with a clear definition of roles and LOE. The education, knowledge/ expertise, skills, and prior experience of the individuals who are proposed must be described in detail. Resumes, letters of commitment, and reference information are required for the key personnel. Applicants should ensure key personnel positions are gender balanced and include local staff to the maximum extent possible.
- III. USAID Ethiopia recommends the Staffing Plan include, at minimum, an experienced Program Manager who shall play a key role in providing regular guidance on program management, facilitating a multi-sectoral, multi-stakeholder process to create a Consortium and agreement between government partners, universities, and ministry officials to start-up and expand a multi-region two-year Fellowship program (with multiple Fellow cohorts), amongst other strategic oversight. In addition, USAID Ethiopia recommends the Staffing Plan include a Project Manager who shall oversee all daily aspects of the Fellowship Program (including pre-Fellowship training, Fellow recruitment and selection, placement, mentor identification, and Fellow performance management, demand-driven training during the Fellowships, and payment to Fellows), amongst other tasks.

### **4. Organizational Capacity and Experience**

A description of the applicant's technical and administrative experience and capabilities in the proposed activity area must be included, such as experience in: the programmatic area, collaborating with multiple government and private stakeholders, building and strategically incentivizing buy-in from government partners so processes are institutionalized, assessing human resource capacity gaps and organizational capacity gaps, developing human capacity in low- and middle- income countries, managing and implementing projects of similar technical scope and complexity. If sub-awards with other organizations are proposed, to the extent possible, pertinent aspects such as technical roles, management relations, and level of effort of the organizations and individuals involved in the sub-award must be explicitly described. Applicants should also include their capabilities to integrate and build the capacity of new and underutilized partners in accordance with NPI in Section C1.

## 5. Appendices

Annexes should be numbered (e.g. Annex 1). If any part of the Technical Application exceeds the page limits specified above, USAID/Ethiopia may decide to consider and review ONLY those pages up to the applicable limit when evaluating the Application.

The Appendices, which are not included in the main Technical Application's 15-page limit, must include the following items:

- 1) Expanded Logic Model, based on the logic model outlined in the Program Description, with draft sub-intermediate results, indicators, baseline and performance targets.
- 2) Timeline of milestones from the beginning to the completion of the proposed activities, including all deliverables; monitoring, evaluation, and learning; and dissemination of reports and information
- 3) Resumes for Key Personnel and any essential co-implementers for the proposed activity not to exceed three (3) pages each
- 4) Additional relevant materials [up to five (5) pages] may also be provided as an appendix. These may include the history, structure, accomplishments, and capacity of the applicant organization(s).

1. Technical Approach Charts, Graphs and Maps, and Logical Framework

The Applicant is authorized to include any charts, graphs or maps, and a Logical Framework that support the Technical Approach Section in the Merit Review Application Body.

2. Resumes/CVs & Letters of Commitment

### Key Personnel

- i. Proposed Key Personnel CVs (no more than 3 pages per individual)
- ii. Key Personnel proposed minimum requirements (1 page per position)

Each resume shall be accompanied with a commitment letter from each candidate indicating his or her: (a) availability to serve in the stated position, in terms of days after the award; (b) intention to serve for the stated term of service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. Each resume shall include a minimum of three (3) references of professional contacts within the last five years; with complete current contact information, including email addresses and telephone numbers, for each proposed key personnel candidate.

### 3. Organizational Chart

This annex should consist of a chart showing the proposed organization for the Program; this chart should include, but is not limited to, a representation of the staff reporting lines and relationships between the different positions that fully illustrates the management structure of both full time and non-full time staff for the Recipient and all sub-recipients; it should be sufficient to illustrate the complete human resources needs necessary to achieve the objectives of this Program.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for merit review purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets \_\_\_\_; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

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

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The Business (Cost) application must include: 1. Cover Page; 2. SF 424 Forms; 3. Required Certifications and Assurances; 4. Other Budget Information; 5. Prior Approvals; 6. Subawards; 7. D&B/SAM Information; 8. Performance History; 9. Branding and Marking; 10. Funding Restrictions; and 11. Conflict of Interest.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

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

1. Cover Page:

Please see Subsection D.3 above for requirements.

2. SF 424 Form(s):

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at [www.grants.gov](http://www.grants.gov) or using the following links:

<b>Instructions for SF424</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424instructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424instructions.html</a>
<b>Application for Federal Assistance (SF-424)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF424A</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424ainstructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424ainstructions.html</a>
<b>Budget Information (SF-424A)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>
<b>Instructions for SF424B</b>	<a href="http://www.grants.gov/web/grants/form-instructions/sf-424binstructions.html">http://www.grants.gov/web/grants/form-instructions/sf-424binstructions.html</a>
<b>Assurances (SF-424B)</b>	<a href="https://www.grants.gov/web/grants/forms/sf-424-family.html">https://www.grants.gov/web/grants/forms/sf-424-family.html</a>

Failure to accurately complete these forms could result in the rejection of the application.

3. Required Certifications and Assurances:

The applicant must include the following documents and submit a signed copy as part of the Business (Cost) Application:

- i. “Certifications, Assurances, Representations, and Other Statements of the Recipient” ADS 303mav document found at <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>
- ii. Assurances for Non-Construction Programs (SF-424B)
- iii. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

4. Other Budgetary Information:

In addition, the following budgetary information should be provided in the Cost Application.

(i) **Guidelines:** The following general guidelines apply.

- A. The Cost Application should be for a period of 60 months.
- B. Budget should be stated in US Dollars and the USAID/Ethiopia support should total approximately \$7.68 million.
- C. Applicants should assume notification of an award as set forth in Section B.2.

**(ii) Spreadsheets Required:** The following spreadsheets are required:

- A. A Summary Spreadsheet showing the cost for the major cost categories identified.
- B. Separate detailed budgets that provides sufficient detailed information at the individual cost line item that is sufficient to allow USAID/Ethiopia to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E. The types of costs should be organized based on the cost categories specified above in Section D.6 and Annex 1. This budget should contain total amounts for each line item of cost for the entire 60-month period (not only should total amount of dollars over 60 months for each cost line item be included but the cumulative number of units – days, trips, months etc. should also be summed).
- C. Separate sheets that breakdown the costs specified in Subsection B above to each of the five program years. NOTE: Applicants can alternatively include the detailed cost breakdown per year in the overall 60-month summary described above.

**(iii) Spreadsheet Format:** The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to review the application , and may result in a rejection of the cost application.

**(iv) Sub-contracts/Sub-agreements:** The budget shall include a summary and breakdown of the costs allocated for each sub-recipient or sub-contractor involved in the activity (unless the agreement or contract is on a fixed amount basis). While it is preferred that detailed subcontract or sub-agreement costs be included in the overall detailed spreadsheet(s) described above, applicants have the option of including separate sub-agreement or subcontract budgets for the sake of clarity.

**(v) Budget Notes:** Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived. The budget notes must be sufficient to ensure that USAID/Ethiopia can determine the purpose of every cost item proposed, as well as understand the basis for the cost estimate (units and unit cost).

**(vi) Budget Categories:** The Detailed Budget must contain the following budget categories and information, at a minimum and provides guidance on budget category costs.

- A. Salaries – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary

rate, level of effort, and salary escalation factors for each position. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.

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

Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative.

- C. Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
- D. Equipment and Supplies – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

**NOTE:** In accordance with 2CFR 200, “**Equipment**” means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. **All equipment must be listed in a separate budget line item.**

- E. Contractual – Must include costs of direct program activities, monitoring, evaluation, and learning costs, Consultants, Trainings, workshops, monitoring, evaluation and learning costs, conferences, campaigns, consultants, sub awards and other direct program implementation costs. Specify the budget for the

portion of the program to be passed through to any subrecipient. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant's budget, including those related to fringe and indirect costs. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

F. Construction – NOT APPLICABLE

G. Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, equipment rental, office rent, utilities, communication, maintenance or service costs, costs associated with implementation of Branding and Marking Plan, costs for services not part of the technical scope/delivery of the award (i.e. logistical support services) as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

H. Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only

Eligibility: Any applicant

Initial Application Requirements: See above on direct costs

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

Eligibility: Any applicant with a NICRA issued by a USG

Agency must use that NICRA

Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See [USAID's Indirect Cost Rate Guide for Non Profit Organizations](#) for further guidance.

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

Eligibility: Any applicant that has never received a NICRA  
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If

chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

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

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant's requested method.

- I. Cost Sharing – The applicant should estimate the amount of cost sharing resources to be provided over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting award.

**5. Prior Approvals in Accordance with 2 CFR 200.407:**

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

## 6. **Approval of Subawards:**

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

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

## 7. **Dun and Bradstreet and SAM Requirements:**

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

1. Provide a valid DUNS number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient ([www.beta.sam.gov](http://www.beta.sam.gov)).
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

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

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

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

Applicants should address the status of these registrations in this section.

#### 8. **History of Performance:**

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed three (3) as follows.

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, that have been awarded or completed in the last three years, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last three (3) years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

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

#### 9. **Branding Strategy and Marking Plan:**

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award.

Pursuant to ADS 303.3.6.2.f and ADS 320.3.1.2, the applicant is required to submit a Branding Strategy and Marking Plan in this Section of the Business (Cost) Application. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 2 CFR 700.16 and the references therein.

USAID/Ethiopia does not intend to make an award without an approved Branding Strategy and Marking Plan. The following pre-award terms in ADS 303mba entitled “Branding Strategy – Assistance” and “Marking Plan – Assistance” are relevant:

**1. Branding Strategy – Assistance (June 2012)**

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
  - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
  - (2) The intended name of the program, project, or activity.
    - (i) USAID requires the applicant to use the “USAID Identity,” comprised of the USAID logo and brand mark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the NOFO or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
    - (ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.
    - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
    - (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
    - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed

- logos. Section VI of the NOFO or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
  - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
    - (i) Describe the main program message.
    - (ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
    - (iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”
    - (iv) Provide any additional ideas to increase awareness that the American people support this project or program.
  - (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
  - (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

## **2. Marking Plan – Assistance (June 2012)**

- a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and landmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the NOFO or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
  - (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
    - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
    - (ii) Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
    - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
    - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
    - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
  - (2) A table on the program deliverables with the following details:
    - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
    - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
    - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
    - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
    - (v) The rationale for not marking program deliverables.
  - (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

- (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
  - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
  - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
  - (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
  - (v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
  - (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
  - (vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

#### **10. Funding Restrictions:**

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor. Applicants will be reimbursed only for costs that benefit the program description and are allocable, allowable and reasonable. Pre-award costs may be reimbursed under the resulting award, but only with the prior specific written approval of the Agreement Officer.

This program does not have any provision for capital funding or any type of construction assistance.

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

The Applicant should address any issues with these funding restrictions in this Section of the Business (Cost) Application.

### **11. Conflict of Interest:**

The Applicant should disclose any conflicts of interest pursuant to the following pre-award term:

#### **CONFLICT OF INTEREST PRE-AWARD TERM (August 2018)**

##### **a. Personal Conflict of Interest**

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

##### **b. Organizational Conflict of Interest**

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

**12) CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – PRE-AWARD  
TERM (February 2012)**

(a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

1) Shall not be required, as a condition of receiving such assistance—

(i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or

(ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or Cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

(b) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

(c) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror’s proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

**13) Special Award Requirement Relating to the Prohibition on Certain  
Telecommunication and Video Surveillance Services or Equipment (November 2020)**

**FOR U.S. ORGANIZATIONS**

Special Award Requirement Relating to the Prohibition on Certain Telecommunication and  
Video Surveillance Services or Equipment (November 2020)

USAID has been granted a temporary waiver under Section 889(d)(2) that will allow the recipient to use award funds through September 30, 2022, to procure certain telecommunications and video surveillance services or equipment as specified in 2 CFR 200.216. Based on this waiver, all costs incurred for covered telecommunications and video surveillance services or equipment will be allowable through September 30, 2022, without regard to the cost principle at 2 CFR 200.471. Procurements made on or after October 1, 2022, will be unallowable in accordance with 2 CFR 200.471.

**FOR NON-U.S. ORGANIZATIONS**

Special Award Requirement Relating to the Prohibition on Certain Telecommunication and  
Video Surveillance Services or Equipment (November 2020)

USAID has been granted a temporary waiver under Section 889(d)(2) that will allow the recipient to use award funds through September 30, 2022, to procure certain telecommunications and video surveillance services or equipment as specified in the standard provision “Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment (AUGUST 2020).” Based on this waiver, all costs incurred for covered telecommunications and video surveillance services or equipment for without regard to the standard provision “Allowable Costs” and the cost principle at 2 CFR 200.471. Procurements made on or after October 1, 2022, will be unallowable in accordance with the standard provision “Allowable Costs” and 2 CFR 200.471.

[END OF SECTION D]

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

### **E.1 Criteria**

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

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

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

The required format and content for the application are described in Section D. The applications will be evaluated using an adjectival rating system, in accordance with the selection criteria set forth below. The SC will make a recommendation regarding which applicant(s) should receive the award(s). USAID will collaborate with the apparently successful applicant(s) to create a final Program Description that will be included in the award. Prior to negotiating an actual award, the Agreement Officer will review the apparently successful applicant(s) budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. The costs proposed must be determined to be reasonable, based on the Cost Application and other information, before award can be made. Award will be made to the responsible applicant whose application is determined to be the best, based on the criteria specified in this RFA. The Agreement Officer must also evaluate risk of the apparently successful applicant(s) and is charged with the final determination of whether to make an award to the apparently successful applicant(s). Among other issues, the apparently successful applicant(s) history of performance will be reviewed using the reference information contained in the Technical Application, along with any other information deemed relevant by the Agreement Officer or Selection Committee. The Agreement Officer is the only individual who may legally obligate the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

#### **a) Merit Review**

USAID/Ethiopia will conduct a merit review of all applications received that comply with the instructions in this NOFO. Applications will be reviewed and evaluated in accordance with the following criteria shown in descending order of importance:

<b>Criterion</b>	<b>Criterion Name</b>	<b>Importance</b>
Criterion 1	Technical and Implementation Approach	Most important

Criterion 2	Collaborating, Learning, and Adapting (CLA)/Monitoring, Evaluation, and Learning (MEL) Plan	2nd most important
Criterion 3	Management Approach, Staffing Plan, and Key Personnel	3rd most important
Criterion 4	Organizational Capacity and Experience	4th most important

Additional guidance on the three Merit Review Criteria are set forth below.

***a.1. Evaluation Criterion No. 1, Technical and Implementation Approach:***

The technical and implementation approach will be evaluated in terms of overall quality and the extent to which the proposed technical approach demonstrates a clear understanding of the objectives of the program, a convincing approach to achieve the expected results, and an understanding of how this activity connects to USAID’s other DRM investments as outlined in the Program Description.

The Implementation Plan will be evaluated for the strength, workability, and completeness of the plan. The extent to which the draft Initial Implementation Plan (Work Plan) presents a realistic and feasible plan to launch Activity operations in a timely manner, achieve results in Year 1. The extent to which the Applicant demonstrates its ability to build a local partnership, including through sub-awards to local Universities/Institutions, and facilitate partnerships among those to meet the activity objectives and contribute to the sustainability of its results.

***a.2. Evaluation Criterion No. 2, Collaborating, Learning, and Adapting (CLA)/ Monitoring, Evaluation, and Learning (MEL) Plan:***

This Criterion will be evaluated to the extent the proposed collaboration approach demonstrates an understanding of the diverse operating environment for this activity; the proposed learning approach (including monitoring and evaluation) demonstrates an understanding of right-fit learning tools and processes; and the proposed adapting approach demonstrates an understanding of how learnings and pivots will be routinely incorporated into project management to achieve results.

The extent to which the draft Activity CLA/MEL Plan demonstrates an effective system for monitoring, evaluating, and managing performance while incorporating learning. The extent to which the Applicant demonstrates an understanding of innovative MEL and CLA approaches that allow for flexibility and the ability to adapt activity interventions throughout the course of implementation.

The proposed results framework and draft CLA/MEL Plan will be evaluated on the extent to which:

- it is realistic, showing clearly how results, outcomes, and indicators match to achieve the objectives of the activity;
- it is aligned with USAID’s learning priorities and reflective of the CLA approach outlined in this NOFO;
- it is able to quantifiably measure progress and results; and,
- indicators are direct, concise, succinct, objective, practical, adequate, and disaggregated (where possible).

***a.3 Evaluation Criterion No.3, Management Approach, Staffing Plan, & Key Personnel:***

This Criterion will be evaluated for the overall quality and responsiveness of the management plan , staffing plan, and the qualifications of the staff, especially of key personnel, who will manage, develop and carry out the activity.

***a.4 Evaluation Criterion No. 4, Organizational Capacity and Experience:***

This Criterion will be evaluated on the organizational capability and experience of the Applicant and its major sub-recipients (if applicable) as demonstrated by its ability to integrate new and under-utilized partners, manage technical and administrative aspects of similar programs and activities, achieve measurable results, and work effectively and efficiently with key stakeholders leveraging expertise to enhance impact.

**b. Business (Cost) Review**

USAID/Ethiopia will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

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

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

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

**c. Pre-Award: Co-creation/Revised Full Application Submission (ONLY applies to those Apparently Successful Applicant(s) selected).**

Revised full Applications in response to this NOFO must be submitted as instructed by the Agreement Officer. See Annex 3 of this NOFO for Co-creation Guidance.

[END OF SECTION E]

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

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

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID/Ethiopia anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

The Cooperative Agreement signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization(s) electronically, to be followed by original copies for execution.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b. USAID/Ethiopia will consider requests for additional information pursuant to ADS 303.3.7.2.

### **F.2. Administrative & National Policy Requirements**

The resulting award from this NOFO will be administered in accordance with the following policies and regulations.

For US organizations: [ADS 303](#), [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S. Non-governmental organizations](#).

For Non US organizations: [Standard Provisions for Non-U.S. Non-governmental Organizations](#).

See Annex 2 for a list of the Standard Provisions that will be applicable to any awards resulting from this NOFO.

### **F.3. Reporting Requirements**

Below are the reporting requirements under the DRM-PYL cooperative agreement that include financial reports, activity planning reports, performance check-in presentations, and expenditure reports:

#### **a. Financial Reporting**

Recipients of USAID funding must submit the Federal Financial Form (FFR) (SF-425) on a quarterly basis via electronic format to the AOR and USAID Ethiopia's Financial Management Office. Details on requirements for submission of the financial reports will be included in the award document.

## **b. Activity Planning**

Activity planning reports cover the reports that are critical to USAID/Ethiopia's ability to be substantially involved in this Activity. These include annual work plans and a learning, monitoring, and evaluation plan.

### **I. Work Plans**

The work plan is intended to express the Recipient and USAID/Ethiopia's plan to implement the Activity. The work plan authorizes specific activities to implement the Activity Description. The Recipient shall submit to the USAID Agreement Officer Representative (AOR) one electronic copy of a draft work plan within 30 days of the agreement, covering the entire five-year period of performance. The work plan, complemented by budget narratives, should explain the rationale, sequence and timeline of activities that will be implemented during that fiscal year and provide additional information determined to be relevant by the AOR. USAID will review the draft life-of-activity work plan and provide comments/suggestions. The Recipient shall then submit one electronic copy of the final life-of-activity work plan to the USAID AOR for approval not later than 15 days from receipt of USAID's comments/suggestions.

The Recipient shall also submit one copy of the final approved life-of-activity work plan to the Agreement Officer. The Recipient shall submit one electronic copy of subsequent draft revisions and updates to the life-of-activity work plan to the AOR annually. The Recipient shall report any significant work plan changes or revisions to the AOR and shall obtain the AOR's approval prior to implementing or undertaking such changes or revisions. Work plans and changes/revisions thereto must be within the scope of the Activity Description of this Associate Award. Work plans and changes thereto shall describe activities to be conducted during the period at a greater level of detail than the Activity Description but shall not serve to change the Program Description in any way.

Work plans should not be submitted to USAID's Development Experience Clearinghouse (DEC). Details on the Work Plan will be provided in the award document.

### **II. Collaborating, Learning, and Adapting (CLA)/ Monitoring, Evaluation, and Learning (MEL) Plan**

USAID has integrated Collaborating, Learning and Adapting (CLA) into all aspects of its operations and programming to achieve better development outcomes. See Section A part (e) of this NOFO for additional details on the CLA/MEL Plan.

## **c. Performance Reporting**

Performance monitoring reporting, to be outlined in the CLA/MEL Plan, is intended to ensure that USAID has sufficient information to effectively monitor the Activity's performance. This includes any information regarding any development that may have a significant impact on performance, including, but not limited to challenges encountered, and relevant context and information on costs incurred compared to the approved budget plan for the Agreement. The Activity's Performance Monitoring Reporting differs from Financial Reporting as the latter is intended to address cash flow needs and not performance.

## I. Quarterly Progress Check-in Presentations

The quarterly Progress Check-in Presentation shall be formatted as a slide deck, not exceeding 10 slides (excluding annexes). The Implementing Partner will provide a short 30 minute presentation quarterly to the USAID activity management team and it shall be used as an adaptive management tool.

The slide deck may include the following information:

1. A summary of activities and key results and achievements. Actual achievements of the quarter, that should be presented in quantitative terms whenever possible and described in relation to results established in the work plan;
2. Information on management issues, including administrative, or coordination problems;
3. A comparison of actual accomplishments established for the period;
4. Reasons why planned activities did not take place (if applicable);
5. Other pertinent information as specified by the AOR in writing;
6. Plans and intended outputs for the following quarterly period;
7. Annexes: cumulative list of reports/studies/documents sent to USAID's Development Experience Clearinghouse (DEC) and datasets submitted to the Development Data Library (DDL); Other annexes as applicable.

The detailed format of the presentation will be developed in collaboration with the AOR. The Recipient shall discuss with the AOR any issues identified as a result of these presentations, including, but not limited to, data quality and cost issues, to determine appropriate follow-up actions, including providing additional information as necessary to clarify performance issues. The Quarterly Progress Check-in Presentation will not be submitted to USAID's Development Experience Clearinghouse (DEC).

## II. Quarterly Learning Briefs

Quarterly Learning Briefs shall outline key learnings from the quarter's activities and include learnings associated with the activity's collaboration with its university and GoE partners, ongoing monitoring findings, and process-oriented adaptive management learnings. Planned and ongoing learning efforts should also be documented and reported in the briefs. In addition, the briefs shall answer USAID Learning Questions for Project 1, Strengthening Disaster Risk Management - Systems and Institutions (see DRM PYL Learning Questions).

The brief shall not exceed 6 pages in total and will be used as a discussion tool during the quarterly check-ins. The exact format of the brief will be developed in collaboration with the AOR. USAID will facilitate sharing of these lessons learned between IPs, so any confidentiality or proprietary information concerns should be noted as and when appropriate. Efforts to identify, share, and adapt based on learnings should also be an integral part of the DRM-PYL CLA/MEL Plan. The Quarterly Learning Briefs should be submitted to USAID's Development Experience Clearinghouse (DEC).

## II. Quarterly Expenditure Reports

The Recipient will submit a brief separate quarterly Expenditure Report to USAID within 30 calendar days after the end of each quarter of the fiscal year during the performance period. The

Expenditure Report, Progress Check-in Presentations, and Learning Briefs shall be submitted together.

### III. Annual Performance Reports

The Recipient will submit annual reports to USAID within 30 calendar days after the end of the reporting period. In this regard, the USAID's annual reporting time covers the period from October 01 to September 30. The Annual Report shall contain the following information:

1. A summary of key achievements;
2. A comparison of actual accomplishments against goals established for the period in the annual work-plan;
3. Explanations of any issues related to data quality;
4. A summary of funds expended during the fiscal year by funding source;
5. A cumulative list of reports/studies/documents sent to USAID's DEC and datasets submitted to the DDL;
6. A summary of lessons learned and summative answers to USAID Project 1 Learning Questions;
7. Information on major challenges and constraints faced during the performance period being reported; and
8. Prospects for next year's performance.

Upon receiving AOR approval, the approved Annual Report shall be submitted to the USAID's DEC. Details on the requirements for the Annual Progress Reports will be provided in the award document.

### IV. Close out Report

As part of the close out procedures, the recipient will be required to submit a demobilization plan to the AOR's approval 120 days prior to the completion date of the award.

The demobilization plan shall include a) draft property disposition plan, b) plan for the phase-out of operations, c) delivery schedule for all reports or other deliverables required under the agreement, and d) timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the Agreement Officer.

### V. Final Performance Report

This Final Report will include the following information:

1. Overall activity accomplishments, presented in quantitative terms and described in a narrative that relates activities, products, and results to the Work Plan;
2. Discussion of why unexpected progress, positive or negative, was made toward the planned results. If expected activities were not achieved, the partner shall seek to determine and explain the reason;
3. Analysis of lessons learned and summative answers to USAID Project 1 Learning Questions;
4. Summary of responses to problems encountered during implementation;
5. A bibliography of all products, tools, reports, and studies produced through the activity; and

6. Other pertinent information communicated by the AOR in writing within 15 days of the end of the agreement.

The Final Performance Report will cover the entire period of the award. The Recipient shall submit a draft of the final report to the AOR within 90 days following the estimated completion date of the cooperative agreement. The Recipient shall submit one electronic copy of the final Performance Report to USAID's Development Experience Clearinghouse (DEC). The Recipient shall submit to the AO and the AOR and to one of the following:

- Via E-mail:  
DocSubmit@usaid.gov;
- Via Fax: (202)216 -3515; or
- Online: <http://dec.usaid.gov>.

g. Close out Plan

The Recipient will be requested to provide a closeout plan for all activities (administration, information, finance, procurement and management) for review and approval, no less than 90 days before the end date of the Cooperative Agreement.

h. Submission to the Development Experience Clearinghouse and Publications

Per ADS 540.3.2.3, documents and development assistance activity descriptions produced or funded with USAID resources and created in support of Intellectual Work must be submitted for inclusion in the DEC. The recipient must provide the AOR one copy of any Intellectual Work that is published, and a list of any Intellectual Work that is not published.

In addition, the recipient must submit Intellectual Work, whether published or not, to the DEC, either on-line (preferred) or by mail. The recipient must review the DEC Web site for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <http://dec.usaid.gov>. For purposes of submissions to the DEC, Intellectual Work includes all works that document the implementation, evaluation, and results of international development assistance activities developed or acquired under this award, which may include program and communications materials, evaluations and assessments, information products, research and technical reports, progress and performance reports required under this award (excluding administrative financial information), and other reports, articles and papers prepared by the recipient under the award, whether published or not. The term does not include the recipient's information that is incidental to award administration, such as financial, administrative, cost or pricing, or management information.

Each document submitted should contain essential bibliographic information, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) development objective; and 6) date of publication.

The recipient must not submit to the DEC any financially sensitive information or personally identifiable information, such as social security numbers, home addresses and dates of birth. Such

information must be removed prior to submission. The Recipient must not submit classified documents to the DEC.

In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost must be credited to the award unless the schedule of the award has identified the profits or royalties as program income.

#### **F.4. Program Income**

If it is expected that program income might be generated under this program, then program income earned under the resulting award shall be added to the program and used to further eligible program objectives as agreed upon by USAID. Applicants should describe how program income might be generated under the proposed activities and how it envisions program income being utilized to successfully accomplish program objectives. Program Income, if any, will be accounted for in accordance with 2 CFR 200.307 for U.S. organizations or the Standard Provision entitled Program Income for non-U.S. organizations.

#### **F.5. Environmental Compliance**

In accordance with USAID policies and procedures related to environmental compliance ADS-Chapter 204, the Disaster Risk Management Strengthened Development Objective (DO1) prepared umbrella Initial Environmental Examinations (IEE) that covers Disaster Risk Management Professionalization and Youth Leadership (DRM-PYL) activity and received BEO's approval on 1/15/2020 and remains valid. Pursuant to 22 CFR 216.2(c)(2)(i, ii, iii, v, and xiv) the proposed activity is given a Categorical Exclusion determination from further environmental review. The IEE for this activity will be shared with the apparently successful applicant at a later stage.

##### **a. General**

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

2. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
3. No activity funded under this Grant will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

b. Implementation Plans

1. As part of its initial Work Plan, and all Annual Plans thereafter, the recipient, in collaboration with the AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this grant to determine if they are within the scope of the approved Regulation 216 environmental documentation.
2. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
3. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

**F.6. Other Requirements**

Success Stories/Events During the performance of this activity for each project component, some special reporting may be required from the Recipient such as a brief paragraph on note-worthy activities and events, successes stories etc. The success stories/events should be written to reach a broad audience, both inside and outside of USAID/Ethiopia, and should be provided in English. Mandatory photo captions and credit should be included with the success stories/events.

[END OF SECTION F]

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

### **G.1 Points of contact (POC):**

See Section D.1 for Points of Contact (POC) for questions while this NOFO is open.

### **G.2. The Agreement Officer Representative (AOR):**

The AOR for this Award is [TBD] and will be designated after Award.

### **G.3. Different contacts for distinct kinds of help,**

For technical assistance related to Grants.gov, applicants may contact Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov)

[END OF SECTION G]

## **SECTION H: OTHER INFORMATION**

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

### Applications with Proprietary Data

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

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

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

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

[END OF SECTION H]

## ANNEX 1 – BUDGET FORMATS

### SUMMARY BUDGET TEMPLATE

<b>DRM-PYL Core Budget Categories</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total All Years</b>
<i>1. Personnel</i>						
a. International Staff						
b. Local In-Country Staff						
<b>Total Personnel</b>						
<i>2. Fringe Benefits and Allowances</i>						
a. Fringe Benefits						
b. Allowances						
<b>Fringe Total</b>						
<i>3. Travel</i>						
a. International travel						
b. Local and domestic travel						
<b>Total Travel</b>						
<i>4. Equipment and Supplies</i>						

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a. Equipment						
b. Supplies						
<b>Total Equipment and Supplies</b>						
<i>5. Contractual (Program Implementation)</i>						
a. Direct Program activities						
b. Training;						
c. MEL costs;						
d. Consultants						
e. Subgrants.						
<b>Total Contractual/Program Implementation</b>						
<i>6. Other Direct Costs</i>						
a. Equipment operation costs						
b. Insurance/Travel						
c. Office operation costs						
d. Communication costs						
e. Other						

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<b>Total Other Direct Costs</b>						
<b>Total Direct Charges</b>						
<i>7. Indirect Charges</i>						
a. Material Handling						
b. Overhead						
c. G&A						
<b>Total Indirect Costs</b>						
<b>TOTALS (Direct and indirect costs)</b>						<b>Approximately \$7.68 Million</b>

DETAL BUDGET TEMPLATE

Please include all detailed costs under the following cost categories and subcategories.

<b>DRM-PYL Core Budget Categories</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>	<b>Year 5</b>	<b>Total All Years</b>
<i>1 Personnel</i> · a. International Staff i. Expatriate Staff ii. HQ Technical Staff b. Local In-Country Staff i. Program Staff ii. Operational Staff						
<i>2 Fringe Benefits and Allowances</i> · a. Fringe Benefits b. Allowances						
<i>3 Travel</i> · a. International travel b. Local and domestic travel (car rental, taxis etc.)						

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<p>4 <i>Equipment and Supplies</i></p> <p>.</p> <p>a. Equipment (equipment with a unit cost greater than \$5,000)</p> <p>b. Supplies (equipment with a unit cost less than \$5,000, including but not limited to work stations &amp; chairs, file cabinets, computers, cellular phones, printers, etc.). This cost category does not include office supplies, which should be included under Miscellaneous Direct Costs.</p>						
<p>5 <i>Contractual</i></p> <p>.</p> <p>a. Direct Program activities (including fixed-price,</p>						
<p>but not cost type, subcontracts).</p> <p>b Training;</p> <p>.</p> <p>c MEL costs;</p> <p>.</p> <p>d Consultants (including but not limited to expatriate consultants, local consultants, studies, analyses, etc.)</p> <p>e Subgrants.</p> <p>.</p>						
<p>6 <i>Other Direct Costs</i></p> <p>.</p>						

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a.	Equipment operation costs (e.g. including, but not limited to, vehicle rental/lease, vehicle and equipment maintenance/fuel/repair, motorcycle fuel/maintenance, generator fuel/maintenance, software licenses)					
b.	Insurance/Travel (e.g. DBA, Medevac, visas, permits, immunizations, exams, vehicle insurance, equipment insurance, other insurance)					
c.	Office operation costs (e.g. rent/utilities/repairs/maintenance, security services, office supplies, make ready costs)					
d.	Communication costs (e.g. general communications expense, mobile/cellular communication, internet, printing/photocopying, courier)					
e.	Other (e.g. professional fees – audit/legal/payroll, branding & marking, banking fees)					
<b>Total Direct Charges</b>						
<i>7. Indirect Charges</i>						
a.	Material Handling					
b.	Overhead					
c.	G&A					
<b>TOTALS (Direct and indirect costs)</b>						<b>Approximate ly \$7.68 Million</b>

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## ANNEX 2 - STANDARD PROVISIONS

Note: the full text of these provisions may be found at:

<https://www.usaid.gov/ads/policy/300/303maa> and  
<https://www.usaid.gov/ads/policy/300/303mab>).

The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations. The award will also contain the following “required as applicable” Standard Provisions:

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

Required	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
X		RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
	X	RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
X		RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
	X	RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
X		RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
X		RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
	X	RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)

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	X	RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
	X	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
X		RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
	X	RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
	X	RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
X		RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

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

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
X		RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
X		RAA7. SUBAWARDS (DECEMBER 2014)
X		RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
X		RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
	X	RAA11. PATENT RIGHTS (JUNE 2012)
X		RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
X		RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA 14. COST SHARE (JUNE 2012)
X		RAA15. PROGRAM INCOME (DECEMBER 2014)
X		RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL
		CONFERENCES (JUNE 2012)

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	X	RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	X	RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
	X	RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
	X	RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
X		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
	X	RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

[END OF PROVISION]

## ANNEX 3 – CO-CREATION GUIDANCE FOR DRM-PYL

### Background on Activity Design within USAID Ethiopia Programming

The unique challenges associated with long-term programming in a complex crisis necessitate new approaches to not only activity design, but also to approaches for collaboration, learning, and adapting. USAID defines co-creation as a design approach that brings people together to collectively produce a mutually valued outcome, using a participatory process that assumes some degree of shared power and decision-making.

To improve collaboration and respond to an uncertain environment, most long-term and/or multi-year activities supported by USAID in Ethiopia will utilize variations of co-creation both during the pre-award and post-award procurement phases. The scope and intensity of activity designs under co-creation will vary as activity designs require.

Given the dynamic landscape of the disaster risk management (DRM) sector in Ethiopia, USAID intends to co-create an all-of-activity approach for DRM-PYL. The Pre-Award Co-Creation workshop and the post-award refine and implement period are meant to further refine the shared long-term vision and shared partnerships between USAID, universities, the GoE, and relevant DRM institutions.

### Pre-Award Co-Creation

USAID challenges applicants to identify opportunities for engaging, meaningful opportunities for young professionals in the DRM sector and ways to ensure the long-term sustainability of USAID’s investment in human resource capacity for improved DRM. During pre-award co-creation, USAID envisions hosting a combination of audiences during multiple sessions of a pre-award co-creation workshop. To be held in Addis Ababa, virtually, or another location, with a third-party facilitator to bring Apparently Successful Applicants (ASA[s]), USAID, GoE and other related partners together. The general goal of the co-creation sessions will be to bring together the various technical approaches, relevant experience, and innovations of each participant and further define activities across a discrete set of technical spheres which may be, but are not limited to:

<i>Co-Creation Topics (tentative)</i>	<i>Principle Audience(s)</i>	<i>Objective</i>
Fellowship recruitment and onboarding	ASA(s), University representatives	Identify underrepresented student populations and innovative outreach/recruitment techniques and onboarding processes
Geographic targeting and Fellow placement	ASA(s), University representatives, GoE	Identify targeting geography ( <i>USAID reserves the right to approve final</i> )

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		<i>implementation areas; see Section A4: General Program Parameters, (b) Geographic Focus)</i>
Mentorship, supervision, and continuous learning experiences for Fellows	ASA(s), University representatives, GoE	Identify opportunities for Fellows’ mentorship, formal supervision, and ongoing learning pre-, during, and post-Fellowship
Human resource budgeting & GoE cost-sharing for Fellows’ salaries	ASA(s), GoE	Identify cost-sharing opportunities for the Fellowship stipends to build organizational commitment for mobilizing human capacity monetary resources in the DRM sector
Post-fellowship employment pathways	ASA(s), GoE	Reach agreement that DRM institutions will hire and promote leadership for a certain proportion of the Fellows upon successful completion of their Fellowship
Collaboration, Learning, and Adapting (CLA)	ASA(s), University representatives, GoE	Refine joint learning agendas, the iterative theory of change, and the approach to evidence-driven adaptive management and learning

**Post-Award Refine and Implement**

The Ethiopia DRM-PYL activity will include a collaborative post-award model known as Refine and Implement (R&I). Intended to improve activity design, R&I establishes the groundwork and culture for strong adaptive management throughout the lifetime of the activity.

USAID Ethiopia plays a partnership role through substantial involvement in the R&I process. During an initial refinement period, new awardees may carry out a number of activities including traditional start-up tasks and additional applied learning activities. However, formative research including assessments should not be limited to the R&I period.

R&I allows for an opportunity to collaboratively develop activities beyond the DRM-PYL activity that respond to the unique challenges and goals as suggested by the learning agendas outlined in this NOFO. R&I establishes a process for collaboration, learning, and adapting required to succeed over the lifetime of the activity.

Refinement Period

During an initial ‘refinement period’ of approximately 12 months post-award, the new awardee is also expected to carry out additional activities intended to refine their iterative ToC and

programmatic approach that are beyond those defined in this solicitation. These activities should respond to the preliminary joint learning agenda developed during co-creation. These may include, but are not limited to:

- Formative research and assessments that address evidence and knowledge gaps as well as strengthen understanding of local context;
- Participatory stakeholder engagement and community consultation for strengthened university and GoE partnerships;
- Local capacity building;
- Young professionals consultations to enhance visioning and local engagement;
- Refining and harmonizing the activity ToC and related documents across USAID partners;
- Finalizing joint learning agenda;
- Participation in R&I Key Collaboration Events (detailed below);
- Refining the staffing pattern to fit the programmatic needs.

At the conclusion of the refinement period, there will be a joint R&I workshop that brings together the awardee, GoE and university partners, and USAID to review learning from the refinement phase and make decisions on programmatic changes and scaling. It is expected that throughout the life of the award, as a matter of strong adaptive management and continued program quality improvement, awardees will continue with efforts to close knowledge gaps, refine planning, test and pilot innovative approaches, update the theory of change and continue stakeholder engagement and coordination with other relevant actors. This adaptive management will happen in close collaboration with USAID Ethiopia programs and the SDRM-SI Developmental Evaluation.

#### Key Collaboration Events

- Post-Award Conferences and Kickoff Meetings, including Gender Consultation, R&I Conception Workshop, M&E Workshop and Baseline/Endline Workshops, R&I Culmination Workshop, and Chief of Party Presentations
  - o Format/ Modality: To be determined at a later date, potentially to be held virtually
  - o Attendees: Implementing partner (IP) headquarter (HQ) and possibly key field staff positions, USAID Mission staff
  - o Location: TBD
  - o Timing: Immediately after award

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