



USAID | KENYA AND EAST AFRICA

Subject: Notice of Funding Opportunity (NFO)
NFO Number: 72061521RFA00022
CFDA Number: 98.001
Issue Date: August 12, 2021
Deadline for concept paper questions: August 19, 2021
Closing date for concept papers: September 13, 2021, 10:00 am Nairobi Time
Estimated co-creation period: Early to Mid-October 2021
Deadline for full application submission: Estimated - November 2021 (Exact dates TBD)

Program Title: **Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya program.**

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking concept paper applications for an assistance type of award mechanism from qualified entities to implement the *Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya program*. Eligibility for this award is not restricted.

USAID intends to fund one or multiple awards to maximize development impact and efficient resource use by engaging in new, or expanding existing, partnerships in priority areas identified in the program description. The program intends to adopt and scale innovative solutions in meeting the identified development challenges. USAID/Kenya and East Africa (USAID/KEA) intends to award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NFO, subject to a risk assessment. Eligible parties interested in submitting applications are encouraged to read this NFO thoroughly to understand the type of program sought, application submission requirements and selection process. This NFO will follow a 3-phase process:

Phase 1: Submission of Concept Paper

Phase 2: Participation in Co-creation Workshop – for pre-selected successful applicant(s)

Phase 3: Submission of Full Application

Phase 1 is the submission of a Concept Paper that will be reviewed for responsiveness to the purposes of this NFO and evaluated in accordance with the evaluation criteria provided in Section E. Successful applicants will advance to Phase 2, which is an invitation only process to join a co-creation workshop. Please note that USAID may, at its option, choose to invite any apparently successful applicant to skip Phase 2 (co-creation) and proceed directly to Phase 3 (submit a full application). Following the co-creation process in Phase 2, selected applications (individual organizations and/or consortia developed during co-creation) will advance to Phase 3 and be requested to submit a Full Application as provided in section D and will be evaluated in accordance with the criteria provided in Section E.

To be eligible for award, the applicants must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. This funding opportunity is posted on 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 NFO has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering for notifications on

www.grants.gov or accessing the NFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to any successful applicant unless the applicant has complied with all applicable unique entity identifier (DUNS Number and System for Award Management (SAM) requirements detailed in Section D (sub-section g) on page 32. The DUNS registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration as early as possible in the solicitation process.

Please send any questions about this solicitation to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice to be posted on www.grants.gov.

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

Thank you for your interest in USAID programs.

Sincerely,

_____/s/_____
Sandra Jansen
Agreement Officer
USAID/Kenya and East Africa

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SECTION A: PROGRAM DESCRIPTION

1. TITLE

Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya program.

2. GUIDING PRINCIPLES

The Applicant is requested to incorporate these guiding principles in their application:

Gender: Consistent with USAID's Gender Equality and Female Empowerment Policy (https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf; see also ADS 205) and related guidance, as well as the Women's Entrepreneurship and Economic Empowerment Act of 2018 (<https://www.congress.gov/bill/115th-congress/senate-bill/3247/text>), USAID expects that proposed activities will be sensitive to gender dynamics.

Applicants are asked to explore opportunities to advance gender equality and female empowerment in designing new approaches. This includes pursuing an inclusive approach to foster equality, building partnerships across a wide range of stakeholders, harnessing science, technology, and innovation to reduce gender gaps and empower women and girls, and addressing unique challenges that affect women and men differently.

Innovation, adaptation and evidence-based implementation: USAID intends to support activities that utilize data and evidence to inform and carry out interventions with the greatest chance of success. Collecting, measuring and using data and evidence will be important for developing policies and interventions. USAID strongly encourages potential partners to use collaborating, learning, and adapting approaches (<https://usaidlearninglab.org/cla-toolkit>).

Capacity-building: USAID supports approaches that strengthen Kenyan organizations, including but not limited to national institutions, local government units, and civil society and private sector organizations. The desire is to empower partner local organizations through transfer of knowledge, skills enhancement and systems strengthening. Capacity building can incorporate analysis of how an organization fits into its ecosystem, build capabilities to respond, and incorporate flexibility into the organization's structure to address challenges and maximize opportunities.

Private sector engagement: Consistent with USAID's Private Sector Engagement Policy (<https://www.usaid.gov/work-usaid/private-sector-engagement>), USAID expects implementing partners to engage and build relationships with private-sector partners. This may include due diligence to bring in commercial partners that offer unique value. The desire is to explore different forms of private sector engagement, including non- financial collaboration; expand and pilot private sector approaches for greater impact; and share experiences to enhance learning in private sector engagement.

Resilience and conflict-sensitive assistance: Consistent with USAID's Resilience policy and related guidance (<https://www.usaid.gov/resilience>), USAID expects that programming under the NFO will strengthen resilience outcomes.

In terms of conflict-sensitivity, USAID expects implementers to identify sources of social conflict, design activities to reflect the social conflict analysis and impact of trauma on staff and beneficiaries, identify risks of implementation being affected by specific social conflict issues or contributing to tensions, develop sound strategies for minimizing these risks, and identify opportunities for reinforcing peaceful outcomes (increased dialogue or constructive collaboration between divided groups, improved coping strategies, less violence, etc.).

3. AUTHORIZING LEGISLATION AND APPLICABLE REGULATIONS AND POLICIES

The Foreign Assistance Act of 1961, as amended, is the authority for this NFO and any resulting award issued under it. Applicable policies of ADS 303 and all Standard Provisions applicable to assistance awards under ADS 303mat will apply to any award made under this NFO.

4. PROGRAM DESCRIPTION

Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya program.

1.0 Introduction

The United States Agency for International Development, Kenya and East Africa (USAID/KEA) seeks to deliver high level results under Kenya's [Country Development Cooperation Strategy \(CDCS\), 2020-2025](#). The overall goal of the CDCS is Kenya's competitive private sector, resilient communities and civil society organizations, and citizen-responsive public sector better collaborate to drive inclusive growth and well-being for Kenya's self-reliance. USAID/KEA is therefore seeking to promote and support integrated socio-economic investments using the community conservancies model for locally-led development in the greater northern rangelands and coastal ecosystems of Kenya by strategically partnering with locally-led organizations and stakeholders including local communities, public and private sector, civil society, and research institutions working in the conservation and development space.

The overall purpose of *Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya Activity* is to improve the resilience of vulnerable populations and environments by increasing the capability of local communities, institutions and ecosystems to mitigate against recurrent environmental, economic, socio and political risks, shocks and stressors. The geographical location will cover three interconnected ecologically sensitive landscapes classified as Arid and Semi-Arid Lands (ASALs). These include: *the greater Ewaso ecosystem; Turkana-Mt. Elgon landscape; and north-eastern and north coastal terrestrial and marine ecosystem*. The Activity is expected to deliver sustainable, resilient, and integrated conservation and development outcomes through: *(i) ecological integrity of critical terrestrial, marine and freshwater ecosystems of biological significance improved; (ii) socio-economic growth and well-being of the local people, livelihoods and economy enhanced; (iii) private and public financial capital investments in nature-based solutions and enterprises leveraged; (iv) capacity of local institutions to own, lead and manage locally-led development strengthened*. The priority sectors will include: biodiversity conservation; nature-based tourism; agriculture and livestock production; water supply and sanitation (WASH); human health; and governance, peace & security.

2.0 Development Context

2.1 Background

The Northern and Coastal regions are part of Arid and Semi-Arid Lands (ASALs) of Kenya that constitute up to 80 percent of the country's total landmass. ASALs are home to approximately 10 million people across 23 counties representing 38 percent of Kenya's population. Most of the ASALs are predominantly found in the northern and southern rangelands of the country including the coastal belt. The ASALs are largely located in sensitive ecological zones that include vast savannah grasslands, dry land forests, and scenic mountains, rare wilderness experiences and freshwater catchments and coastal ecosystems.

Some of the principal defining features and land uses in the northern rangelands and coastal ecosystem of Kenya are nomadic pastoralism evidenced through livestock mobility and the communal management of natural resources including terrestrial and marine wildlife, enormous potential for renewable energy (both solar and wind). The area harbors the largest population of free ranging elephants in the country, including Kenya's most diverse species of endangered and highly threatened wildlife species, and the only community owned and managed sanctuaries for elephants, rhinos and hirola antelopes. Over 75 percent of Kenya's wildlife comprising of the diversity of flora and fauna exists outside government protected national parks and reserves and is resident in community lands commonly referred to as community conservancies¹.

Specific land use in the northern rangelands is categorized into 7 broad uses- pastoral livestock production in communal lands that constitutes 90 percent of the land; mixed livestock and wildlife conservation in community land designated as community and private conservancies and ranches; wildlife conservation in government protected areas (Marsabit, Meru, Samburu, Buffalo Springs, Shabam Kora and Laikipia National Parks); wildlife conservation restricted in private land/ranches ; conservation forestry restricted in forest reserves; agro-forestry and pockets of arable agricultural land for livestock keeping, crop cultivation, and horticultural production. Land use in the coastal ecosystem comprise nomadic pastoralism (cattle, sheep, goats, camels and donkeys), arable agriculture (fruits), biodiversity conservation (Dodori, Boni and Tana River Primate National Reserves and terrestrial/marine conservancies), mangrove forests, swamps, lowland dry forests, and marshy glades. The Dodori National Reserve is a major breeding ground for wildlife including topi, elephants, buffaloes, giraffes, duikers, lesser kudus and bird species. Others include: hunting and gathering, bee keeping & wild honey and fruit production, medicinal plants, lowland dryland forests and cultural shrines in Boni forest in the coastal belt of Kenya.

These landscapes and seascapes are critical in provision of key ecosystem services and significantly contribute to the Gross Domestic Product (GDP) through the nature-based tourism industry that accounts for 12 percent of Kenya's GDP. These regions also host 70 percent of Kenya's livestock population with an estimated value of Ksh.70 billion. The regional economies are also largely dependent on livestock production which in turn depends on the ecological health of the rangelands. These landscapes traverse individual counties of Kenya and are found in geographically strategic locations with neighbouring countries of Ethiopia, Uganda, Tanzania, South Sudan, and Somalia. This provides an opportunity for cross-county and cross-border trade and social cultural interaction.

¹ Community conservancies are land designated by a community, group of individuals or private landowners or corporate bodies for purposes of wildlife conservation and other compatible land uses (KWCA, 2016). The term conservancy also refers to an institution that is formally established to manage such land.

Access to water underpins economic growth and livelihoods across sectors. About 75 percent of Kenyans derive all or part of their livelihoods from agriculture and livestock, both dependent on water; however, agricultural productivity has stagnated in recent years amid continuing population growth. This poses critical challenges to food security in the country as between 1 and 4 million people receive food aid annually. Kenya also continues to face challenges in providing sustainable access to drinking water services, with only 59 percent of Kenyans having access to basic drinking water services (WHO/UNICEF JMP 2019).

Kenya faces significant challenges in ensuring safe and sustainable water resources for communities in areas of recurrent crises to meet basic human, economic and ecosystem needs. The challenges include weak governance and institutional capacity across government authorities in managing, planning, monitoring and regulating water resources, limited technical capacity among communities and water service providers to sustainability deliver, operate and maintain water services particularly in the face of climate change pressure (droughts/floods) and humanitarian crises, and limited private sector and communities' knowledge and skills for effective management of water for drinking and other productive uses (i.e., agricultural activities).

2.2 Problem Statement

People living in the northern rangelands and coastal ecosystem of Kenya are chronically and disproportionately exposed to multiple vulnerabilities as a result of unique socio-economic and ecological shocks and stresses. The main drivers of vulnerabilities are: 1.) climatic shocks - as relates to the failure of key systems (environmental, health, food production and market), recurrent weather events (cyclic droughts, perennial floods and rising sea levels associated with climate variability and change) and disaster management; 2.) conflict - having no reliable and peaceful avenues to resolve inter-communal differences, ethnic tensions, cattle rustling, human-wildlife conflict and inflow of illegal firearms resulting in increased insecurity; 3.) economic instability - occasioned by massive misallocation of resources (human and financial) and lack of opportunities for youth and women and 4.) governance - linked to political marginalization leading to high poverty rates.

Other challenges include: increasing human population and land use changes; low sustainability and reliability of WASH service delivery; lack of access to water for multiple livelihood uses; insecure tenure and property rights, deforestation, land degradation, poor rangeland ecological conditions (primarily due to changing lifestyles amongst the coastal people and pastoralist; high stocking densities, land sub-divisions, agricultural expansion) diminishing wildlife corridors and migratory areas, human insecurity instigated by inter-ethnic conflicts, disease and under developed and weak, tourism, marine and livestock marketing systems that are periodically impacted negatively by climatic and economic shocks.

Community conservancies in the northern and coastal regions also experience moderate to weak governance and leadership structures that impede their capacity to effectively serve as models for locally led development and economic growth despite the existing potential. They also lack financial sustainability and the ability to attract private sector investments leaving them heavily reliant on donor assistance. Other prevalent challenges in the north-eastern and coastal terrestrial ecosystems include: poor land tenure systems, uncoordinated land use systems, loss of biodiversity such as mangrove forest degradation, poor community conservation of coastal terrestrial ecosystems and marine wildlife, droughts, floods, insecurity, diseases, and poor livestock marketing systems.

Despite the presence of several high-end investments in tourism facilities in the northern rangelands and coastal ecosystem of Kenya, the potential for diversified nature-based tourism has been under-marketed and under-branded. There is limited information available to investors and tourists desiring to patronize the available tourism products. There's strong evidence to show that conservation-compatible businesses built on natural landscapes have immense untapped potential to employ millions of people including the huge youth population that experience high rates of unemployment. In addition, nature-based tourism in community conservancies has great potential to earn the county and national government billions of dollars in foreign exchange earnings and immensely contribute to the Gross Domestic Product (GDP). Alongside commercial and monetary incentives, conserved landscapes drive local, regional and global environment benefits and human well-being.

A large number of the youth population aged 10-18 years are found in the northern and coastal Kenya, majority of whom are either out of school or unemployed and the highest mal-nutrition and child mortality indices. There is limited education and workforce capacities and skills amongst young women and men. Youth, mainly girls, are also experiencing high levels of unemployment and lack opportunities for economic empowerment and participation in governance, leadership and decision making on natural resources management that are required for sustainable and inclusive management and conservation of the rangelands for posterity. Furthermore, women are highly disenfranchised as a result of cultural norms and harmful practices such as female genital mutilation. Women are also excluded from participation in access to resources including landownership and decision-making in natural resources governance structures such as conservancy management boards etc.

2.3 Geographical Scope

The geographical focus of the Activity is the greater northern rangelands and coastal ecosystems of Kenya. Applicants may demonstrate potential strategic and ecological linkages to other high-biodiversity landscapes including but not limited to the three inter-connected landscapes of the *greater Ewaso ecosystem; Turkana-Mt. Elgon landscape; and north- eastern and north coastal terrestrial and marine ecosystem*. The selection of specific geographical locations will be guided but not limited by priority ASAL counties identified in Kenya's Country Development Cooperation Strategy (CDCS). These include Turkana, Samburu, Marsabit, Isiolo, Garissa, West Pokot, Kwale in northern and coastal Kenya. Other factors to be considered in the selection of geographical areas beyond those identified in the CDCS include: USAID/KEA's needs and opportunities for conservation programming based on areas of key biological significance and opportunities for ecological connectivity as defined in USAID's Biodiversity Policy and Code; USAID/KEA Water Supply, Sanitation and Hygiene (WASH) and Feed the Future (FtF)/Resilience priority counties and programming; county vulnerability index informed by risks, shocks and stressors; available funding appropriations and the need to demonstrate cross-sectoral integrated programming through sequencing and layering with geographical location where USAID has investments through previous, ongoing or planned future activities.

3.0 Activity Description

3.1 Goal and Purpose

The overall goal of the Activity is to improve the resilience of vulnerable populations and environments in northern rangelands and coastal ecosystems of Kenya by increasing the ability of Kenyan communities, systems and institutions to reduce their vulnerabilities to recurrent environmental, economic, socio and political risks, shocks and stressors. The Activity seeks to address the following underlying causes of chronic vulnerabilities: i) loss of biodiversity and

natural resources as a result of environmental degradation, impacts of climate change and variability, and pressure from increased human population and practices; ii) limited human capital due to high poverty levels, food insecurity, a low literacy rate, complex systemic gender-based inequalities, poor access to basic health, education, water, sanitation, and hygiene, and financial services; iii) inadequate institutional systems and capacities to mitigate against shocks and stresses; and iv) resource-based conflicts, gender-based violence, and violent extremism.

3.2 Theory of Change

Applicants are expected to outline a sound technical approach and capacity to manage activities at landscape-scale within the geographic areas of this solicitation. The applicants will be expected to propose strategic approaches aligned to the USAID Biodiversity Policy that advances biodiversity conservation as an essential component of socio-economic and human development. It establishes cross-sectoral linkages between biodiversity conservation programming and other sectors such as economic growth, agriculture, food and nutrition security, water security, human health, governance etc. Strategic approaches would include *livelihood improvement, economic incentives for conservation, protected area management, community-based conservation, sustainable use of natural resources, policy development and reform, and cross-sectoral linkages to biodiversity conservation*. Further the Biodiversity Code lays emphasis on the following four programmatic elements: *explicit demonstration of biodiversity objective; evidence-based activity identification based on analysis of drivers and threats to biodiversity through a theory of change (TOC); site-based programming in biologically significant areas (BSA); and results-based programming and indicator monitoring based on the Theory of Change (TOC)*.

Applicants are required to provide a clear and creative development hypothesis including a Theory of Change of how the expected results will be achieved. The achievement of the above results are premised under the following illustrative Theory of Change (TOC): **If** the capacities of chronically vulnerable communities, families, households, ecosystems and institutions in Northern Rangelands and Coastal Ecosystems of Kenya are scaled up through integrated multi sectoral service delivery, and system strengthening and use of evidence-based knowledge and information to enhance preparedness to mitigate shocks and risks rooted in inequities, **then** the resilience of local communities and institutions will be empowered to demand, implement, and sustain their own socio-economic development and mitigate recurrent risks, shocks and stressors and ecosystems in the rangelands and ASAL counties of northern and coastal Kenya will be enhanced to sustainably support livelihoods. A set of sector-specific key performance indicators to measure and report on progress achieved during implementation will be determined by the applicants and other stakeholders during the co-creation process.

4.0 Expected Outcomes

The Activity is expected to contribute toward the achievement of USAID's high-level results under Kenya's *Country Development Cooperation Strategy (CDCS)* for the period 2020-2025. The Activity is designed to deliver sustainable, integrated and climate-resilient conservation and development outcomes by enhancing the resilience of local communities, institutions and ecosystems to mitigate shocks and stresses. The expected outcomes will be achieved through the following four outcomes: *(i) ecological integrity of critical terrestrial, marine and freshwater ecosystems of biological significance improved; (ii) socio-economic growth and well-being of the local people, livelihoods and economy enhanced; (iii) private and public financial capital investments in nature-based solutions and enterprises leveraged; (iv) capacity of local institutions to own, lead and manage locally-led development strengthened*.

The applicants are expected to employ integrated development, innovative, sustainable and practical strategic approaches. These include locally led development, community-based natural resources management, ecosystem-based adaptation, thinking and working politically and private sector-led solutions. The results will be galvanized through collaboration, learning and adapting (CLA) at the landscape level as a means of securing long-term sustainability of the past, present and anticipated future interventions. This will lead to self-reliance and resilience of the local people, ecosystems and economy in the targeted landscapes.

4.1 Outcome I: Ecological integrity of critical terrestrial, marine and freshwater ecosystems of biological significance improved

This seeks to scale up the sustainability and resilience of critical terrestrial, marine and freshwater ecosystems in community conservancies in northern and coastal ecosystems of Kenya. Applicants must demonstrate logical technical approaches to address threats to loss of biodiversity and ecosystem degradation based on sound analyses, wildlife anti-poaching and trafficking actions, ecosystem governance and management at landscape-scale. A broad range of approaches will be employed by the applicants. These include integrated systems approaches including ecosystem, integrated water resource management, watershed protection and restoration for improved quality and quantity of drinking water; and good governance and management of the diverse and scarce natural resources. Strengthen local social and institutional capacities of conservancies to understand and manage climate and conflict risks in the landscapes. Other necessary systems approach, networks and partnerships for systems strengthening must be identified and explicitly outlined for systems strengthening to achieve the desired outcomes. Innovative and creative ideas for enhancing partnerships and coordination with national parks and reserves buffering community conservancies for effective ecosystem-wide and landscape-level management will be required. Illustrative outcomes will include:

- The quality of ecosystems including rangelands, migratory corridors, watersheds and coastal ecosystems in targeted landscapes supporting people, wildlife and livestock improved;
- Ecosystem-based planning, management and monitoring tools developed and implemented;
- Population of key wildlife species in the targeted landscapes improved as a result of enhanced wildlife security & law enforcement, reduced poaching and trafficking and mitigating losses from human wildlife conflict incidences;
- Resilience of ecosystems in the targeted landscapes enhanced to mitigate against and adapt to the negative impacts of climate variability and change through ecosystem-based adaptation and integrated water resources management; and
- Capacity of local youth and women from the landscape enhanced for improved participation and engagement in community-led conservation.

4.2 Outcome II: Socio-economic resilience, growth and well-being of the local people, livelihoods enhanced

This seeks to improve the socio-economic growth and resilience of the communities by increasing sustainable and inclusive livelihood opportunities for the vulnerable people in the targeted landscapes with a focus on conservancies. Conservancies in northern Kenya rangelands and coastal ecosystems support community livelihoods through grazing land for livestock, building capacities and assets to engage in higher - return opportunities that result from increased productivity and developing market systems and, host several tourist facilities that provide employment opportunities to local people among other socio-economic benefits such as small and medium enterprises (SMEs). Other forms of livelihood options within the nature-based solutions include conservation enterprises in beadworks and livestock value addition, access to education bursaries for young women and men, food and nutrition, health

and WASH services, conflict mitigation and peace building, and access to credit through microfinance institutions such as Savings and Credit Co-operatives (SACCOs). SACCOs are community membership-based financial institutions that are formed and owned by their members in promotion of their economic interests.

Strategic approaches will include identification and developing local economic growth opportunities and appropriate livelihood alternatives that are climate and conservation compatible, income generating activities, renewable and clean energy, livestock production for food security and nutrition as a source of protein with a focus on youth and women. In order for communities to support sustainable practices to natural resource management, communities need to perceive benefits from these resources as incentives for deterring unsustainable practices. Activities will focus on sustaining and scaling current and new investments across critical landscapes that USAID/KEA has been investing in the past. Activities may include small-scale construction of site-specific water supply and livestock infrastructure in accordance with USAID policy on implementation of construction activities (ADS 303). Illustrative outcomes will include:

- Enabling environment for inclusive economic growth in community conservancies through enhanced private sector engagement improved;
- Viable, diversified livelihood opportunities and community incentives identified and supported in partnership with the private sector;
- Individuals, households, and communities equipped with technical skills, resources and awareness required to expand and diversify livelihood opportunities for improved access to WASH, food and nutritional human health;
- Competitive, commercialized livestock value chain in the livestock market system facilitated; and
- Availability and reliability of rural water services is improved

4.3 Result Area III: Public and private financial capital investments in nature-based solutions and enterprises leveraged;

To catalyze and scale-up conservation and climate-compatible investments in the target landscape, the applicants will identify a strategy to double private sector tourism operations and maximize revenue to community conservancies over the next five years through catalytic investments and partnerships. Sustainability of community conservancies also need to be further addressed both from a policy perspective but also in terms of real investments. The Activity will focus on increased engagement with the private sector for tourism expansion, as well as for other livelihood activities such as livestock markets, and payment for ecosystem services.

Applications will be expected to propose private sector engagement and partnership approaches in promoting and fostering innovation of delivery of services (e.g., ecotourism, nature-based solutions, water, sanitation, livestock, energy, infrastructure and climate information etc.). It is expected that community conservancies will have increased public and commercial revenue to meet their own operational and development expenses towards sustainability and self-reliance. This may include designing and implementing models on Payment for Ecosystem Service (PES) to conserve the water catchments. The applicants will be expected to outline a plan for promoting competition and a sound branding and marketing strategy for the target landscape. Applicants will be expected to propose alternative viable and diverse business models in livestock value addition such as livestock breed improvement and marketing, fodder, hides and skin enterprises, water and sanitation, climate services and others. Applicants will demonstrate ability and commitment to catalyze more private investments in

conservancies. This may range from actual investment capital and/or infrastructure investments. Competitive approaches in engaging the private sector that result in the best value for conservancies and water catchments are required to ensure achievement of desired outcome. Applicants are equally required to demonstrate ability to catalyze, expand and leverage investments from the public sector including the county and national government to support conservancies. Illustrative outcomes will include:

- Additional financial resources leveraged from private sector and allocated by county governments for business investments and payment for ecosystem services projects in conservancies and freshwater catchments areas in targeted landscapes
- At least 10 or more conservancies attain financial independence in five years through attracting innovative and sustainable private sector investments in conservation and climate-compatible enterprises;
- New private-public partnerships established and at least \$10m leveraged in the first three years for investment in conservation and development in the targeted landscapes; and
- Branding and marketing for northern and coastal tourism products and destinations strengthened.

4.4 Result Area IV: Capacities of local institutions to own, lead and manage locally led development strengthened.

This result area seeks to build strong locally led organizations and institutions. There are numerous organizations and actors working towards improving socio-economic development outcomes in northern and coastal Kenya Rangelands by providing a range of services. There is a need for strengthened locally-led organizations in the landscape to enhance their human, technical, coordination and financial management capacities to own, lead and manage the community development activities across various sectors including: biodiversity conservation and natural resources management, climate change mitigation and adaptation, conflict management and mitigation, and improved livelihoods through income generating activities, livestock marketing and access of social services such as clean drinking water, food security and nutrition, health, education amongst others.

Over the last decades and especially in the wake of the devolved system of governance, there has been a steady increase in the number of local organizations in the public, private and civil society arena including private and community conservancies managed by communities or privately owned entities including companies. As new local organizations including regional umbrella conservancies associations and conservancies emerge, strengthening technical, financial and human resources capacities of such local organizations to deliver their mandate effectively and efficiently is necessary. The Activity will support interventions that strengthen local institutions' capacities to own, lead and manage their development agenda. The Activity will identify opportunities for effective engagement with county governments utilizing the community conservancy model as a platform to discuss issues related to biodiversity conservation, well-being of people and supporting conflict mitigation dialogue platforms amongst downstream and upstream water resources users and users of other natural resources. An integrated approach will be taken to strengthen governance, youth leadership, gender empowerment, private sector engagement, peace and security, and healthy and resilient communities. Applicants must have a clear approach for strengthening community conservancy governance and coordination systems at the county, inter-county and landscape level. Illustrative outcomes will include:

- Capacities of local organizations and institutions working on conservation, natural resource management, climate change, disaster risk reduction and

- conflict management mechanisms and business planning strengthened for effective and efficient service delivery at the landscape and county level;
- Good governance, leadership and management systems and structures strengthened to support inclusivity, transparency and accountability and ability to attract investments for growth and financial sustainability of conservancies;
 - New community conservancies and conservation areas necessary for ecological connectivity established and legally registered;
 - A landscape-wide multi-stakeholders' engagement and coordination platforms for conservation and development strengthened or new ones established to support ecosystem-wide planning, policy advocacy, coordination, collaboration, learning and adapting, downstream and upstream water sharing amongst resource users and implementation of inclusive socio-economic development;
 - Private sector and business associations for specific sectors with existing or potential investment opportunities in selected priority counties/landscapes established, strengthened for improved linkages and networks with state and non-state actors for policy advocacy and reforms on community conservation;
 - Local youth and women-led organizations empowered to provide technical expertise and leadership and participate in governance and decision making within community conservation in the targeted landscapes.

5.0 Relationship to the Host Government and U.S Government Development Priorities

The Activity is aligned to development priorities of the host Government of Kenya (GoK) and county government development priorities articulated in various policies, strategies, plans and legal frameworks. These include: The Constitution of Kenya (2010), Vision 2030, Wildlife Conservation and Management Act (2013), National Wildlife Strategy (2018); the State Department for Development of the ASALs (SDDA) Strategic Plan for the period 2018-2022 among others.

Additionally, the Activity is aligned to Kenya's Country Development Cooperation Strategy (CDCS), 2020-2025. The Activity will contribute to all four development objectives (DOs) of the new CDCS but has the largest investments under DO 2: resilience of vulnerable populations and environments improved, and more specifically IR 2.3 "natural resources and biodiversity to enhance livelihoods for community sustainability managed." The Activity is also aligned to several U.S. government priorities on addressing COVID-19 pandemic, climate change, and conflict as part of building resilience. Key U.S. government strategies and policies on biodiversity conservation, water security, sanitation and hygiene (WASH), climate change, health, and Feed the Future (FtF) relevant to this Activity include: [USAID Biodiversity Policy](#) and [Environment and Natural Resources Management Framework](#); [U.S. National Strategy for Combating Wildlife Trafficking](#), [Eliminate, Neutralize and Disrupt Wildlife Trafficking Act](#), [U.S. Global Water Strategy](#) (2017-22), USAID Water and Development Country Plan; [Global Food Security Strategy](#); [Global Food Security Kenya County Plan](#) and [Executive Order 14008 on Tackling Climate Crisis at Home and Abroad](#) of 2021. Other relevant Agency's cross-cutting policies including the [USAID's Gender Equality and Women Empowerment Policy](#); [USAID's Youth in Development Policy](#); [USAID's Private Sector Engagement Policy](#); [Ending the Need for Foreign Assistance](#) amongst others available [here](#).

6.0. Cross-Cutting Issues

6.1 Gender Analysis

USAID' [2020 Gender Equality and Women's Empowerment Policy](#) affirms USAID's vision of a prosperous and peaceful world in which women, girls, men, and boys enjoy equal economic, social, cultural, civil, and political rights and are equally empowered to secure better lives for themselves, their families, their communities, and their countries. The applicant must demonstrate how gender equality and women empowerment issues will be integrated and supported in the activity design and implementation. USAID expects that proposed interventions will be sensitive to gender dynamics. Applicants are asked to explore opportunities to advance gender equality and female empowerment in designing new approaches. This includes pursuing an inclusive approach to foster equality, building partnerships across a wide range of stakeholders, harnessing science, technology, and innovation to reduce gender gaps and empower women and girls, and addressing unique challenges that affect women and men differently.

6.2 Environmental Compliance

USAID promotes environmentally sound design by requiring that all USAID funded activities undergo an environmental impact assessment. This is accomplished through an Initial Environmental Examination (IEE), an Environmental Assessment (EA) or a Request for a Categorical Exclusion, all in accordance with Title 22 of the Code of Federal Regulations Part 216, commonly known as 22 CFR 216 or "Reg 216."

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 22 CFR 216 and in USAID's ADS Parts 201 and 204, which, in part, requires 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. All recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NFO. In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern. No activity funded under this NFO 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). Additional information is available here: [Environmental Compliance](#)

6.3 Climate Risk Analysis

In recognition of the fact that Climate change is a cross cutting issue that can have significant impacts on regional, national, and local development efforts in all sectors, in 2014 President Obama signed Executive Order (EO) 13677 which requires integration of climate-resilience considerations into all United States international development work to the extent permitted by law. ADS 201 (Planning) also states that all missions are required to fully factor climate change into their foreign assistance planning and manage the associated climate risks. Climate Risk Management (CRM) screening is the process of assessing, addressing and adaptively managing climate risks that may impact the ability of USAID funded programs to achieve their objectives. The screening outlines specific climate risks that are potential negative consequences on projects or activities due to changing climatic conditions to activity design and implementation, and opportunities to address the risks identified.

7.0 Additional Considerations

7.1 Shock Responsive Programming

The Applicant should develop a proactive approach to developing a shock responsive activity by building in contingency planning and funding right from the activity design stage. The Applicant is therefore expected to build in best practices around contingency planning and allocate a designated budget (10-15%) that is triggered based on pre-set criteria setting to save development gains during times of crisis and shocks. This includes developing and regularly updating a shock-response contingency plan (based on relevant selected shocks) that defines clear actions, roles, and responsibilities for when that triggering criteria are met. Contingency planning should also build preparedness, early response, and recovery capacities at the local level by including county officials, community members and other key local actors in the preparation, validation and resourcing of contingency plans.

Within 3 months of award, the Applicant will be expected to develop and submit a shock-response contingency plan to USAID (based on relevant selected shocks) that describes activities to reduce vulnerabilities and better prepare for potential crises; ongoing monitoring for tracking potential and emerging crises related to these shocks; activities that will be undertaken post-shock to ensure adequate recovery to pre-shock status (or better); and clearly identifies staff roles and responsibilities for all activities that will be undertaken as part of this plan. This plan will be incorporated into regular work planning processes and regularly updated as needed throughout the life of the award.

7.2 Journey to Self-Reliance (J2SR)

This Activity will support Kenya's journey to self-reliance by building on community-owned conservancies and government-led local planning committees at the ward level as drivers and platforms for socio-economic growth and integrated development. The Activity aims to maintain the ecological integrity of the target landscapes, ensure that at least ten conservancies attain financial sustainability to independently manage their operations and leverage at least \$10 million from private sector and/or county governments by 2025. The Activity will particularly contribute to the indicator of the government's commitment to economic development and policy through protection of biodiversity and habitat in the northern rangelands and coastal ecosystem that are home to several national parks and reserves and adjacent conservancies spread across several counties. This metric measures the representativeness of protected areas and whether protected areas cover ranges and habitats of critical species in the greater northern rangelands and coastal ecosystem.

The Activity will also contribute to the civil society capacity indicator that measures a range of actions and mechanisms that civil society organizations use to hold the government to account on biodiversity and habitat protection such as social mobilization. Additionally, the community's increased income from various livelihoods and enterprises will indirectly contribute to the citizen capacity indicator through the poverty rates metric that measures the percentage of people living under \$5/day in purchasing power parity. Organizational capacity strengthening of new and existing local organizations will improve their effectiveness and accountability to member conservancies, landowners, private sector, and development partners working the landscape.

7.3 Collaboration, [Learning and Adaptation](#)

USAID's Program Cycle guidance (ADS 201.3.7), "Strategic collaboration, continuous learning, and adaptive management link together all components of the Program Cycle." This requires integrating Collaboration, Learning and Adaptation (CLA) into program designs and implementation to ensure that there is coordination with others, grounded in a strong evidence base, and iteratively adapted to remain relevant throughout implementation. The applicant needs to demonstrate how collaboration, learning, and adaptation will be integrated throughout the Activity design and implementation to help in addressing development challenges. Additional information on [USAID's CLA's Framework](#).

7.4 Construction Risk Management

If any construction activities are proposed to achieve the objectives, the activity should ensure that appropriate measures are taken to mitigate construction risks. This should include having a licensed architect-engineer (A-E) firm complete engineering designs, completing construction under a separate subaward to a qualified construction contractor, ensuring quality-assurance throughout the life of the construction activity, and planning for operations and maintenance. The activity will also need to ensure acceptable water quality by following a water quality assurance plan. USAID will perform and document risk-screening of each identified and discrete construction activity by using the Construction Risk-Assessment Tool.

USAID shall complete the risk screening as soon as the need to include construction in the award is identified and as early as possible in the design of the activity. The risk screening must be completed and filed prior to implementation of construction. Screening must be updated throughout the life of the activity when the level of risk changes, when additional mitigation actions have been taken, or additional risk is perceived. In accordance with ADS 303.3.30 *Limitation on Construction under Assistance* and *USAID Implementation of Construction Activities - A Mandatory Reference for ADS Chapters 303*, no construction activities other than those explicitly approved under the agreement may be performed as part of the cooperative agreement. A description, location(s) and cost of the specific construction activities must be included. **See Annex 4 – Construction Resources**

[END OF SECTION A– PROGRAM DESCRIPTION]

SECTION B: FEDERAL AWARD INFORMATION

I. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one or more assistance type awards (either a Cooperative Agreement and/or a Fixed Amount Award) pursuant to this notice of funding opportunity.

Subject to funding availability and at the discretion of the Agency, USAID intends to provide \$16,300,413 comprised of the following earmarks:

- (i) \$9,800,413 and \$2,000,000 of Biodiversity and Adaptation respectively,
- (ii) up to \$2,500,000 and \$2,000,000 of Water Supply, Sanitation and Hygiene (WASH) and Feed the Future (FtF)/Resilience respectively, subject to availability of funds.

The total USAID funding will be expended over the life of the activity, estimated for up to a five (5) year period.

USAID reserves the right to make multiple awards or no awards at all through this opportunity.

USAID anticipates issuing up to two (2) awards to successful applicants. It is expected that at least one of the awards ranging between \$1m to \$3m will be issued to a single or consortium of local organizations that have not previously received direct funding from the US Government. Such an award may focus on a specific geographic area or thematic area provided it meets the requirements of this solicitation.

II. Expected Performance Indicators, Targets, Baseline Data, and Data Collection

The expected performance indicators are available under Section A of the NFO.

III. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is up to five (5) years. The estimated start date will be dependent upon the date the award(s) is issued by USAID.

IV. Type of Award

The anticipated award from this procurement will be either a Fixed Amount Award and/or a Cooperative Agreement.

V. Substantial Involvement

USAID may be substantially involved under the awards issued in the following areas:

- The Agency's approval of the recipient's implementation plans during performance;
- The Agency's involvement in the selection of key recipient personnel as will be proposed in the application, approved and incorporated in the final award;
- The approval of sub awards: USAID shall have substantial involvement in the criteria and selection of sub-award recipients through means of collaboration and joint participation. Unless otherwise directed by the Agreement Officer, USAID shall concur on the selection of all sub-award recipients and substantive provisions of the sub-awards. (see 2 CFR 200.331 for requirements);
- The Agency and recipient collaboration or joint participation, such as when the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge;
- Agency monitoring to permit special kinds of direction or redirection because of inter-relationships with other USAID and other donor programs, alignment with U.S. foreign policy objectives and USAID/KEA's strategy; and
- Approval of Recipient's construction plan and agency's ability to immediately halt an activity if

recipient does not meet construction specifications.

VI. Authorized Geographic Code

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

VII. 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 to support Scaling Sustainability and Resilience of Community Conservancies in Northern Rangelands and Coastal Ecosystems of Kenya program, which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

[END OF SECTION B– FEDERAL AWARD INFORMATION]

SECTION C: ELIGIBILITY INFORMATION

I. Eligible Applicants

Eligibility for this NFO is not restricted. Eligible organizations include:

- registered U.S. and non-U.S. private non-governmental organizations;
- registered U.S. and non-U.S. non-profit organizations; and
- for-profit organizations willing to forego profit.

Types of organizations could include foundations, faith-based organizations (FBOs), community-based organizations (CBOs), host country organizations, private organizations affiliated with public academic institutions and international non-governmental organizations, private companies, professional associations, and other international and indigenous organizations. Local partnership consortia comprising any of the above are also encouraged to apply.

Other U.S. Government departments and agencies may not apply for USAID funding under this NFO.

Host country government agencies/entities are not eligible to apply. Furthermore, cost applications may not contain Level of Effort related costs for host country government staff.

All applicants must be legally recognized organizational entities under applicable law.

II. Responsibility of Applicant: In order for an award to be made under this opportunity, the USAID Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9. This means that the applicant:

- i. Possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID;
- ii. Has a satisfactory record of performance;
- iii. Does not have active exclusions in the System for Award Management (SAM) (beta.sam.gov);
- iv. Does not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control, sometimes referred to as the “OFAC List” (online at: [http://www.treasury.gov/resource-center/sanctions/SDNList/Pages/default.aspx](https://www.treasury.gov/resource-center/sanctions/SDNList/Pages/default.aspx));
- v. Is not listed in the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

Failure to meet these thresholds will lead to removal from consideration for an award.

III. New Partners: USAID encourages applications from new partners. However, resultant awards to these organizations may be delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their “responsibility” as discussed above. These organizations should take this into account and plan their implementation dates and activities accordingly.

- IV. Local Organizations and Sub-Agreements:** Local organizations (lead host-country investigators or institutions) may enter into sub-agreements with technical-assistance providers locally or based in other countries including the United States. For any application, sub-agreements to non-local (outside of host-country) entities are limited to less than 50% of the entire award, unless a specific justification is provided.
- V. Non-Local Organizations and Sub-Agreements:** Other (non-local) lead investigators and institutions funded through this announcement are encouraged to partner with local partners.
- VI. Cost Sharing or Matching**

Cost sharing or matching is not a requirement under this NFO. However, we encourage applicants to cost share.

Cost-sharing or matching means that portion of project or program costs are not borne by the U.S. Government. Cost-sharing includes cash and in-kind contributions and is subject to 2 CFR 200.306 and the USAID standard provision for Non-U.S. NGOs entitled "Cost-Share-June 2012" which, inter alia, requires that cost-sharing be verifiable from the Recipient's records. Cost-sharing or matching is normally associated with contributions from the same prime and sub-recipient sources that also receive USAID funds under an award but can include contributions from third parties. Failure to meet a cost-sharing requirement can result in the Recipient having to make refunds to USAID or a reduction in future funding.

[END OF SECTION C: ELIGIBILITY INFORMATION]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

I. Agency Point of Contact

Sandra Jansen
Agreement Officer
Office of Acquisition and Assistance
USAID/Kenya and East Africa
sjansen@usaid.gov

Mailing Address: USAID/Kenya and East Africa, United Nations Ave., P. O. Box 629 – 00621, Nairobi

II. Questions and Answers

Questions regarding this NFO should be submitted via email to sjansen@usaid.gov with a copy to A & A Specialist, Wacu Kiragu at wkiragu@usaid.gov no later than the date and time indicated on the cover letter, as amended.

III. General Content and Form of Application (for all stages/phases of procurement)

The application process is anticipated to comprise of the following stages:

- **Phase 1 – Concept Paper:** Interested applicants will be expected to submit a concept paper. The application will be reviewed in accordance with the merit review criteria under Attachment E and will be considered for further consideration after USAID's determination of meeting eligibility requirements and review criteria. Once all concept papers are reviewed, USAID/Kenya and East Africa will select applicants to participate in co-designing the activity. Concepts with private and public partnerships already developed, will have added advantage. If there are concepts with overlapping ideas, USAID may reach out to the organizations requesting them to consider forming a consortium.

a) Concept Paper Format

The Applicant should ONLY submit the information and materials specified – no other format will be accepted or reviewed. Please submit the concept paper and required supporting information via e-mail to the attention of Sandra Jansen at sjansen@usaid.gov with a copy to Wacu Kiragu at wkiragu@usaid.gov on or before the closing date indicated on the cover sheet. The application must be submitted in two separate parts: The Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application.

The format and style of the application shall:

- Be written in English language on letter size paper and legible; If the concept is in any other language, it will be treated as non-responsive and eliminated from further consideration.
- Be single spaced, standard margins, fonts and with each page consecutively numbered;
- Be in searchable and editable Microsoft Word or Adobe Acrobat formats and clearly labeled on all pages with the name of the submitting organization, opportunity title; Budgets must be submitted in Microsoft Excel in unlocked, unhidden formulas; and
- Not exceed **seven (7)** pages in length (excluding the cover page and supporting information). Pages in excess of this stated limit will not be reviewed.

b) Concept paper content and instructions

Section I and II of your submission must not exceed seven (7) pages and must use standard margins, fonts and be paginated. While no page limit exists for Section III, applicants are encouraged to be as concise as possible while still providing the necessary details. The concept paper must be submitted to: sjansen@usaid.gov with a copy to wkiragu@usaid.gov

SECTION I – SUMMARY INFORMATION

- a. NFO Number and Title:
- b. Proposed short and unique title of the activity.
- c. Name and Contact Information of Applicant (*Name, email and phone number*)
- d. Full Address of applicant Organization.
- e. Type of Organization. (*e.g., US, non-US, multilateral, private, for-profit, non-profit*)
- f. Programmatic Focus Area (*from Section A of the NFO*)
- g. List of Collaborating Organizations/Implementing Partners.
- h. Total Amount of Funding Requested from USAID including \$ _____
- i. Cost-share amount (if proposed) \$ _____
- j. Proposed period of performance. (*Number of years/months*)
- k. DUNS number.

SECTION II – CONCEPT BODY

- A. **Concept Introduction:** (*Brief description of development problem or challenge to be addressed.*)
- B. **Target Beneficiaries:** (*Description of beneficiaries the intervention will reach/impact under this program.*)
- C. **Geographic Location:** (*Locations where the proposed intervention will be carried out and where it is expected to have an impact.*)
- D. **Intervention approach:** (*A clear strategic approach for achieving results at the target ecosystem and landscape-level*)
- E. **Intervention results:**
- F. **Collaboration and Partnerships:** (*Organizational approach to collaborating and partnering with other entities working on conservation, business investments and development at the landscape, county and national level.*) USAID strongly encourages the Applicant and its partners/sub-awardees to be thoroughly involved in the development of the concept paper and be fully in agreement with the proposed technical approach and management structure.
- G. **Applicant capacity, eligibility and past performance to deliver expected results and outcomes** (*Proven track-record for biodiversity conservation at landscape-scale and strengthening locally-led, locally owned and locally managed community-based natural resource management at landscape-scale. Must be a local organization with proven capability to operate at landscape-scale, however, consortia partnerships with other local, regional or international organizations are encouraged and preferred to address capacity gaps*).
- H. **Other pertinent information:**

SECTION III – SUPPORTING INFORMATION *(Excluded from 7 Page Count)*

- A. Proposed Estimated Cost and Cost Breakdown:** This section should include the abbreviated proposed budget projections and brief narratives. The Applicant must submit Excel spreadsheets in a print-friendly format, with visible formulas, (unlocked cells) covering at a minimum the following categories:
- Salaries, Allowances and Fringe Benefits
 - Travel and transportation
 - Procurement or rental of goods (equipment and supplies)
 - Subawards
 - Construction
 - Other Direct Costs
 - Indirect Costs
 - Cost Sharing (if applicable)
- B. Proposed Results Framework:** A graphic representation of the applicant’s strategy on how proposed interventions will lead to desired results. The graphs must include a short explanation on the cause-and-effect logic of the framework and outcome indicators.
- C. Collaborative Partner(s) Information:** The applicant must submit letters of support and commitment from any named partner(s) to the program. Additionally, a contact list for all proposed partners must be included covering: name, title, email and phone numbers and a brief description of each prospective partner’s previous work and experience.
- **Phase 2 – Co-creation:** This phase will be facilitated by USAID which will consist of a *co-creation* process involving ONLY the successful applicant(s) and their respective selected strategic partners. Please note that USAID may, at its option, choose to invite any apparently successful applicant to skip Phase 2 (co-creation) and proceed directly to Phase 3 (submit a full application).
- The invited applicant(s) will be given the opportunity to co-create a program description with USAID, and other stakeholders (if any) during the co-creation process.
- During co-creation, USAID expects dedicated discussions on how the proposed approaches would lead to achievement of project objectives. Co-creation after a concept paper is reviewed allows USAID and the proposed partners to clarify the objectives and approach outlined in the concept paper and confirm shared value. During co-creation, the prospective applicant, partner(s), and the USAID team will refine a situation model and theory of change, and discuss how to develop indicators to support monitoring, adaptive management, evaluation and learning. If co-creation results in a mutually acceptable concept, USAID will request full application(s). If an applicant does not succeed at the co-creation phase, the procurement process ends for that applicant.
- For more information on co-creation and its design approaches, see <https://usaidlearninglab.org/library/co-creation-discussion-note-ads-201>
- **Phase 3 – Full Application:** Following a successful co-creation process, the applicant(s) will be invited to submit a full technical and cost application through a formal written request from USAID. **Applicants should not prepare full applications without first receiving USAID’s invitation to do so.**

USAID’s Agreement Officer will engage in a final review, award negotiation, responsibility determination, cost/price evaluation, and other steps as needed prior to award. USAID may request additional information from the applicant(s) concerning its technical approach, organizational capacity, management structure and past performance, cost application and representations and certifications. USAID may cancel the negotiation(s) and award process at no cost to the Government.

Below is an indicative timeline for the overall review and award process under this NFO.

Steps	Week
Phase 1 – Concept Paper	
Receive concept paper	End of week 4
Review concept paper	5 – 7
Preparation and planning for co-creation workshop	7 – 9
Phase 2 – Co-creation	
Co-creation workshop	9 - 10
Phase 3 – Full Application	
USAID request and receipt of full application	10-14
Review of full application and discussions	15- 18
Draft award document	18 - 20
Sign the award; obligate funds	20 - 21
Total estimated time from NFO release to award	21 weeks to issue award (s)

IV. Application Submission Procedures

All applications (both concept paper and full applications) in response to this NFO must be submitted by email to Sandra Jansen, Agreement Officer at sjansen@usaid.gov with a copy to Wacu Kiragu at wkiragu@usaid.gov no later than the closing date and time indicated on the cover letter, as amended. A late application may be considered at the *discretion* of the Agreement Officer. The Applicant must retain proof of timely delivery in the form of {system generated documentation of delivery receipt date and time. Email submissions must include the NFO 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: "[NFO number], [organization name], Cost Application, Part 1 of 2".

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

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

Applicants are reminded that e-mail is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NFO, 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 cannot guarantee their acceptance by the internet server. File size must not exceed 25MB.

V. Full Application Instructions

a) Full Application Format

Please note that full applications fall under Phase 3 of this procurement. Applicants will be notified by the Agreement Officer if they qualify to submit a full application. Please do not submit a full application without USAID's invitation to do so.

The Applicant should ONLY submit the information and materials specified – no other format will be accepted or reviewed. Please submit the full application and required supporting information via e-mail to the attention of Sandra Jansen at sjansen@usaid.gov with a copy to Wacu Kiragu at wkiragu@usaid.gov on or before the closing date indicated on the cover sheet. The application must be submitted in two separate parts (emails): The Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. The Technical application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

The format and style of the full application shall:

- Be written in English. If the Technical and/or Business (Cost) Application is in any other language, it will be treated as non-responsive and eliminated from further consideration.
- Be single spaced, standard margins, fonts and with each page consecutively numbered;
- Be submitted in searchable Adobe PDF format or editable Microsoft Word format for the technical application, and the cost application narrative, and Past Performance Report Short Forms. Use Microsoft Excel 2010 or later with all cells unlocked, with no hidden formulas and sheets for the cost application budget.
- 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.
- Budget amounts must be detailed in U.S. Dollars (USD).

The applicant must review, understand, and comply with all aspects of this NFO. 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.

Preparation of Full Applications:

Each applicant must furnish the information required by this NFO. Applications must be submitted in two separate parts (emails): The Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see 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.

Any erasures or other changes to the application must be initiated 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.

Full Application Content

i. Cover page

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

- NFO Number and Title
- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Proposed short and unique title of the activity.
- Type of Organization. (e.g., US, non-US, multilateral, private, for-profit, non-profit)
- Programmatic Focus Area (from Section A of the NFO)
- Name of any proposed sub-recipients and or collaborating organizations
- Proposed period of performance. (Number of years/months)
- DUNS number.

You 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.

ii. 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 NFO.

The technical application must be no more than 15 pages, not including the cover page, table of contents, acronym list, and annexes. Any figures and tables within the technical application itself (not the annexes) must fit within the 15-page limit. No additional annexes other than those stated below in paragraph h - Technical Application Annexes will be accepted. The application should incorporate the following sections:

- (a) Cover Page** (See cover page requirement above)
- (b) Table of Contents:** Include major sections and page numbering to easily cross-reference and identify merit review criteria.
- (c) Table of Contents**
- (d) Executive Summary (Not included in the page count limit)**
- (e) Technical and Strategic Approach**

A clear proposed strategic approach and proposed interventions will contribute to addressing the problem and achieving expected outcomes under the result area including the potential to have a significant impact at the targeted ecosystem and landscape-level.

Demonstrate the feasibility of the proposed technical approach and implementation plan to deliver desired results and outcome. Include relevant examples that demonstrate the feasibility of the technical approach. Describe where it has worked and what adaptations may be necessary for the proposed context.

If appropriate, set up the development hypothesis as an “if/then” statement. For example, elaborate to fill in ‘If [concept specifics] is implemented, then [problem specifics] will be impacted in this way [elaborate]’. The development hypothesis and critical assumptions presented will form the basis upon which the Theory of Change (TOC) will be based on during the co-creation process. The monitoring, evaluation and learning as part of adaptive management for the program will be based on the TOC and fully developed during the co-creation stage.

(f) Organizational capacity and past performance (Excluded from 15-page limit)

This section should include:

- succinct information on the organization’s technical capacity and past experience to deliver the results;
- Applicant’s proven capability and track record for building local capacity and local ownership at ecosystem and landscape-scale.
- Proven track-record for biodiversity conservation, livelihoods improvement and strengthening community-based natural resource management at landscape-scale.
- A description of the Applicant’s ability to utilize cross-sectoral technical approaches across all priority socio-economic development sectors to deliver integrated development results.
- A description of the applicant’s past performance including a list of references, over the past three years. Prior experience on a US Government contract or grant is not an eligibility requirement for this solicitation. If no past performance information is submitted, USAID may check other sources and/or may assume the organization has no prior related experience to report. USAID reserves the right to check references regarding the organization’s performance from any source.

(g) Technical Application Annexes (Excluded from 15-page limit)

The following documents do not count toward the 15-page limit:

- Organizational Chart no more than 1 page providing an overview of how the organization proposes to house this project within the organization.
- Staffing Matrix, no more than 1 page and will provide an overview of the staffing structure proposed to manage this project.
- Organizational Capacity References in accordance with paragraph f) above.
- Past performance references and information about the applicant organization. This section should include a summary about significant past and current activities of similar nature and scale to that being proposed; and (iv) draft summary workplan for the entire life of the activity.
- An Activity Monitoring, Evaluation, and Learning (AMEL) plan with specific indicators, will be co-developed in the co-creation process, but suggestions for performance indicators appropriate to intended results should be articulated within the submission. Applicants should include a discussion of how they plan to collect, analyze and disseminate important data and information based on the proposed activities. USAID is very committed to enabling and sharing learning that advances the practice of locally led development for USAID, local partners, and the development community.

iii. Business (Cost) Application Format

The application must include a Summary Budget as shown in the Standard Form 424A by the due date in the cover letter.

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 illustrate the entire period of performance, using the budget format shown in the SF-424.

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 this listing with the letters for each requirement):

- a) **Cover Page** (See above for cover page requirements)
- b) **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 or using the following links:

Instructions for SF-424	http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF- 424C	https://www.grants.gov/web/grants/forms/sf-424-family.html
Budget Information Construction Prog (SF-424C)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424D	https://www.grants.gov/web/grants/forms/sf-424-family.html
Assurances Construction Programs (SF- 424D)	https://www.grants.gov/web/grants/forms/sf-424-family.html

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

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application:

- 1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at <https://www.usaid.gov/ads/policy/300/303mav>
- 2) Application for Federal Assistance (SF-424)
- 3) Budget Information for Construction Programs (SF-424C)
- 4) Assurances for Construction Programs (SF-424D)
- 5) 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).

d) Budget and Budget Narrative [Template provided, see Annex 1]

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

The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements such as the Branding and Marking Plan in addition to those requirements

identified in Section F. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

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

- Summary Budget, inclusive of all program costs (federal and non-federal, if applicable), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See SF-424 for Summary Budget Template.
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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

- 1) **Salaries and Allowances** – 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. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the 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.
- 2) **Fringe Benefits** – (if applicable) 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 comprised 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.
- 3) **Travel and Transportation** – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
- 4) **Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property** – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.
- 5) **Subawards** – Specify the budget for the portion of the program to be passed through to

any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant's budget, including those related to fringe and indirect costs.

- 6) **Construction** – Ensure that there is a specific line item for construction activities in the award budget and insert the description and location(s) of the specific construction activities in section d) of the provision-M20. **LIMITING CONSTRUCTION ACTIVITIES.** Provide a separate excel tab detailing each construction activity. For the purpose of this NFO, “Construction” means construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures. “Improvements, renovation, alteration and refurbishment” includes any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems. “Improvements, renovation, alteration and refurbishment” does NOT include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.)

- 7) **Other Direct Costs** – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. 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. Otherwise, the narrative should be minimal.

- 8) **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:
 - a) **Method 1 - Direct Charge Only**
 Eligibility: Any applicant
 Initial Application Requirements: See above on direct costs
 - b) **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.
 - c) **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.

d) **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:

- 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.

- 9) **Cost Sharing:** The applicant should estimate the amount of cost-sharing resources to be provided under 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.

e) 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. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

f) Approval of Subawards

The applicant must submit information for all subawards that it wishes to have approved at the time of award. 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.

g) Dun and Bradstreet and SAM Requirements

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

1. Provide a valid DUNS number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.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, navigate to Help, then to International Registrants.

h) 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 3 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 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.

i) 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.

It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award

or sub-award must be appropriately marked with the USAID identity.

Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and Marking Plan from only the Apparently Successful Applicant (ASA); therefore, applicants do not need to submit a draft Branding Strategy and Marking Plan in the initial applications. The ASA must submit the Branding Strategy and Marking Plan within 30 Calendar Days after the effective date of award.

The BSMP must also be in compliance with 2 CFR 700.16 (b) that requires construction projects to be marked with the USAID Identity temporarily during construction and permanently after completion. At this time, there are not any written determinations from the USAID Administrator for use of an additional or substitute logo or seal and tagline representing a presidential initiative or other high level interagency federal initiative for this project. However, branding exceptions and waivers can be requested post-award.

A template and additional information are provided as **Annex 3**.

1. Branding Strategy – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate "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 clarifications 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 <https://www.usaid.gov/branding>, unless Section F of the RFA or APS state 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 F of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
 - (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
 - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
- (ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
- (iii) Provide any plans to announce and promote publicly this program or project to host country

- citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."
- (iv) Provide any additional ideas to increase awareness that the American people support this project or program.
- (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
- (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- f. 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.
- g. 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 brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
- (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.

(END OF PRE-AWARD TERM)

j) Funding Restrictions

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

Construction: Construction is limited to those activities that directly support program objectives.

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

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

k) Conflict of Interest Pre-Award Term

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.

I) Electronic Payment System

1. Definitions:

a. "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

b. "Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument, that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, subrecipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.

b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.

c. Cash payments to vendors below \$3000, when payment through an electronic payment system is not reasonably available.

d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at <http://solutionscenter.nethope.org/programs/c2e-toolkit>.

[END OF SECTION D: APPLICATION AND SUBMISSION INFORMATION]

SECTION E: APPLICATION REVIEW INFORMATION

I. CRITERIA

The merit review criteria prescribed here are tailored to the requirements of this particular NFO. 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 the application 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.

II. REVIEW AND SELECTION PROCESS

The concept and full application (if successful) will be reviewed by USAID Direct hire personnel against the eligibility criteria under section C and the merit review criteria under part III. The decision to issue an award vests with the Agreement Officer.

III. MERIT REVIEW CRITERIA

Phase 1 - CONCEPT PAPER MERIT REVIEW CRITERIA

If successful at the Concept Paper stage, USAID will request the applicant to submit a Full Application following the co-creation process. Do NOT submit a full application unless requested to do so by USAID. The following merit review criteria below will be used to review and evaluate the concept paper only on a “acceptable/unacceptable” basis. The concept paper must be deemed to meet all the criteria below before moving on to Phase 2. Each evaluation criterion below has been listed in descending order of importance.

1. Technical Merit Review Criteria

Technical and Strategic Approach

- (i) Strategic fit and technical approach: A clear proposed strategic approach with interventions will contribute to addressing the problem and achieving expected outcomes under the Activity including the potential to have a significant impact at the targeted ecosystem and landscape-level.
- (ii) Feasibility of the technical approach: Demonstrate the feasibility of the proposed technical approach and implementation plan to deliver desired results and outcomes. Include relevant examples that demonstrate the feasibility of the technical approach. Describe where it has worked in the past and what adaptations may be necessary for the proposed context.
- (iii) AMEL Plan: An Activity Monitoring, Evaluation, and Learning (AMEL) plan with specific indicators, will be co-developed during the co-creation process, but suggestions for performance indicators appropriate to intended results should be articulated within the submission. Applicants should include a discussion of how they plan to collect, analyze and disseminate important data and information based on the proposed activities. USAID is very committed to enabling and sharing learning that advances the practice of locally led development for USAID, local partners, and the development community.
- (iv) Development Hypothesis: If appropriate, set up the development hypothesis as an “if/then” statement. For example, elaborate to fill in ‘If [concept specifics] is implemented, then [problem

specifics] will be impacted in this way [elaborate]'. The development hypothesis and critical assumptions presented will form the basis upon which the Theory of Change (TOC) will be based on during the co-creation process. The monitoring, evaluation and learning as part of adaptive management for the program will be based on the TOC and fully developed during the co-creation stage.

Organizational Capacity and Past Performance

- (i) Organization capacity and past performance: Succinct information on the organization's technical capacity and past experience to deliver the results. Applicant's proven capability and track record for building local capacity and local ownership at ecosystem and landscape-scale; proven track-record for biodiversity conservation, livelihoods improvement and strengthening community-based natural resource management at landscape level. A description of the Applicant's ability to utilize cross-sectoral technical approaches across all priority socio-economic development sectors to deliver integrated development results.
- (ii) Sustainability and local ownership: A description of your organization's understanding of local systems approach including: local ownership, leadership and management of local problems, priorities and solutions. This should also include a description of the local context, your ability to be transparent, accountable, and responsive to the people you serve. A description of how your organization's approach substantively responds to local priorities or demonstrates a way to determine local priorities before beginning implementation; and a description of the applicant's past performance including a list of references, over the past three years.

Please note: Prior experience on a US Government contract or grant is not an eligibility requirement for this solicitation. If no past performance information is submitted, USAID may check other sources and/or may assume the organization has no prior related experience to report. USAID reserves the right to check references regarding the organization's performance from any source.

Collaboration and Partnerships

A description of your organization's approach to collaborating and partnering with other stakeholders and entities, including the County Government, National Government Ministries, Departments and Authorities, Research and Academic Organizations, Private Sector, Non-Governmental Organizations, Community Based Organizations and other members of the civil society that would benefit the proposed approach.

Include any information about your organization's active or prospective partnerships with like-minded local organizations including a consortium of partners in the host counties or landscapes that would contribute to feasibility and foster local commitment to success.

A description of the amount of funds and resources that may be leveraged from other strategic/complementary partners including the private-sector partners/investments with clear value propositions for sustainability.

2. Cost Application Merit Review

The budget and budget narratives will not be scored; however, they will be evaluated for cost effectiveness and realism. This will consist of a review of the proposed costs for the work to be performed, to determine whether the costs reflect that the Applicant understands the requirements of the proposed program, and whether the costs are consistent with the technical approach.

Phase 2 - FULL APPLICATION MERIT REVIEW CRITERIA

The full application(s) will be reviewed and evaluated in accordance with the following criteria in descending order of importance. Technical merit review criteria (i), and (ii) are the most significant technical factors. Criteria (iii) and (iv) are of equal importance but less significant than (i) and (ii). Criterion (v) is the least significant. All technical evaluation factors when combined are significantly more important than cost or price.

1. Technical Application Merit Review Criteria

(i) Strategic Fit and Technical Approach: The applicant demonstrates good understanding of the development context and challenges of the target landscapes and how the proposed approach will make a significant contribution towards achieving intended outcomes outlined in this activity description.

The degree to which the proposed technical approach and methodology can reasonably be expected to produce the intended outcomes, based on TOC, expected results and interventions.

(ii) Sustainability and Local Ownership: The likelihood that activities being supported will continue beyond and without USAID funding. This could mean further program activities are community initiated and led, are institutionalized in local government structures, and/or are taken up by the private sector.

(iii) Potential Key Personnel: The application will provide evidence that the program will have the appropriate technical, managerial and financial staff to implement the program. The partner should propose a management team that will meet the outcomes of the project.

(iv) Partnerships: The applicant has identified potential partners/partnerships which will lead to successful implementation of the activity objectives.

(v) Gender sensitivity and youth empowerment: The degree to which the proposed activities identify and plan for gender and youth sensitive approaches as components of the methodological approach with the goal of improving women's empowerment, gender equity and youth development.

2. Business Application Merit Review Criteria

The Agency will evaluate the cost application of the applicant 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 200.208).

[END OF SECTION E: APPLICATION REVIEW INFORMATION]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

I. Federal Award Notices

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

II. Administrative & National Policy Requirements

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

For U.S 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 NFO.

III. Reporting Requirements

The following programmatic reporting requirements may be made part of any award issued under this NFO:

a. Annual Work Plans

The Recipient will develop an annual work plan within 60 days of the effective date of the award. The plan will be reviewed and approved by the Agreement Officer's Representative (AOR) within thirty (30) days after receipt of the draft work plan. 60 days before the end of each USAID fiscal year, the Recipient will submit to the AOR an annual work plan for the following fiscal year. The work plans will include proposed activities for the given year, time frame for implementation of annual activities, detailed budget, review of previous year's accomplishments (if applicable), problems, and progress towards achieving award results and proposed annual accomplishments and progress towards achieving results.

b. Activity Monitoring, Evaluation and Learning (AMEL) Plan

Within 90 days of award the Recipient will submit an Activity Monitoring, Evaluation and Learning (AMEL) Plan for the life of the activity that derives from the activities outlined in the program description. The AMEL will outline key program activities, indicators of achievement, and associated annual and life-of-project targets. This plan will be reviewed and approved by the AOR.

c. Bi-Annual Performance Reports

The Recipient will submit bi-annual reports that give insight into the progress of planned activities. The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the period. In addition, the narrative report will indicate key implementation challenges encountered and how they were or are planned to be resolved. To the extent that the PMP includes quarterly targets, this should be reflected in the narrative report. Reporting schedule will be agreed upon with the USAID AOR. The report should also include budgeted versus actual expenditures (along with a brief analysis of any variance) and estimated accruals for the period.

d. Construction Plan

For any construction planned under this activity, the Recipient will submit to the AO a Construction Plan before undertaking any form of construction. This Plan must include:

- List of locations for construction activities
- Cost per construction site (The estimated cost of construction activities at a single project site must be less than \$500,000 in accordance with ADS 303)
- Type of construction to be undertaken
- Implementation plan of construction activities
- Construction materials and quality standards
- Plans for how construction will be monitored and overseen
- Plans for handover to Kenyan institutions

This Plan must be submitted within 180 days of the award. No construction activities may begin until the Plan is approved by USAID.

After approval of the construction plan, Recipient shall procure a properly licensed and registered A-E firm (not an individual) with legal standing in Kenya to provide professional A-E services. To avoid conflicts-of-interest, the A-E subcontractor or any of its affiliates shall be excluded from bidding on construction subcontracts resulting from their design work. USAID shall approve procurement, HS, QM and staffing plan while considering universal accessibility. Recipient shall procure construction subcontracts competitively and utilize Firm Fixed Price subcontracts and use reimbursement payment method. The construction contractor must be licensed/registered in Kenya. 2 CFR 200.320 (c) establishes the sealed bid method as the preferred method for Cooperative Agreement recipients to procure construction.

e. Closeout Plan

Three to six months prior to the completion date of the agreement, the Recipient will submit a demobilization plan for Agreement Officer approval. The demobilization plan shall include a) draft property disposition plan, b) plan for the phase-out of in-country 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.

f. Branding and Marking Plan

The Recipient shall include a branding and marking plan to be evaluated and approved by the Agreement Officer with concurrence from the Agreement Officer's Representative (AOR), due no later than 30 days after the award is made, in full compliance with ADS 320. Please refer to ADS 320, (<http://www.usaid.gov/policy/ads/300/>) specifically ADS 320.3.3.3 for more information. Additionally, marking shall comply with the USAID "Graphic Standards Manual" available at: www.usaid.gov/branding, or any successor branding policy.

g. Final Report

The final performance report is a detailed report which summarizes the accomplishments and impact in relation to the expected results, in accordance with the approved PMP. It should contain a three-page executive summary, an index of all reports and information products produced under the agreement, and should discuss the elements in [2 CFR](http://www.usaid.gov/policy/ads/300/) 200.329.

The report shall be submitted no later than 90 days after the end-date of the agreement to the Agreement Officer, and the AOR. In addition, an electronic copy must be submitted either:

- a) Online: <http://dec.usaid.gov>

b) By mail (for pouch delivery):

DEXS Document Submissions
M/CIO/KM/DEC
RRB M.01-010
Washington, DC 20523-6100

For questions on DEC submissions, contact: M/CIO/KM/DEC
Telephone: +1 202-712-0579 E-mail: DocSubmit@usaid.gov

If timelines for submissions are not identified above, they will be determined by the AOR. More detail on each reporting deliverable will be included in the eventual award. The recipient will also consult with the AOR on the format and expected content of all reports prior to submission.

IV. Program Income

Any program income generated under the award will be treated in accordance with "Program Income (December 2014)" from USAID's Standard Provisions for Non-U.S. NGOs.

V. Salary Supplements for Host Government Employees

Any payments by the Recipient to employees at any level of any foreign government shall be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the Agreement, the Recipient shall consult with USAID on any questions regarding the applicability of the policy.

[END OF SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION]

SECTION G: FEDERAL AWARDING AGENCY CONTACTS

I. NFO Points of Contact

Sandra Jansen
Agreement Officer
Office of Acquisition and Assistance
USAID Kenya and East Africa
sjansen@usaid.gov

Mailing Address: USAID/Kenya and East Africa, United Nations Ave., P. O. Box 629 – 00621, Nairobi.

Any other POCs will be appointed through official amendments to this NFO.

II. Acquisition and Assistance Ombudsman

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: <https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

[The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov](mailto:Ombudsman@usaid.gov)

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

SECTION H: OTHER INFORMATION

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

Applications with Proprietary Data

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

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

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

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

[END OF SECTION H: OTHER INFORMATION]

Annex 1 - SUMMARY BUDGET TEMPLATE

The Budget template is available at the link below but also provided as a separate attachment to this NFO.



Annex 1 - Budget
Template.xlsx

Annex 2 – Standard Provisions

The resulting award(s) will include the latest Mandatory and required Standard Provisions for either U.S. or non-U.S. Nongovernmental organizations in full text. 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 also contain the following “required as applicable” Standard Provisions:

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

RQD	N/A	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (NOV 2020)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (NOV 2020)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DEC 2014)
		RAA4. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
X		RAA5. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
	X	RAA7. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA8. CARE OF LABORATORY ANIMALS (MARCH 2004)
X		RAA9. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOV 1985)
	X	RAA10. COST SHARING (MATCHING) (FEB 2012)
X		RAA11. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
X		RAA12. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA13. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
X		RAA14. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUN 2012)
X		RAA15. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEB 2012)
	X	RAA16. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEP 2014)
X		RAA18. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
X		RAA19. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
X		RAA23. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT (NOV 2020)
X		RAA24. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOV 2020)
	X	RAA25. PATENT REPORTING PROCEDURES (NOVEMBER 2020)
	X	RAA26. ACCESS TO USAID FACILITIES AND USAID’S INFORMATION SYSTEMS (AUG 2013)
X		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA28. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA29. RESERVED
X		RAA30. PROGRAM INCOME (AUGUST 2020)
X		RAA31. NEVER CONTRACT WITH THE ENEMY (NOV 2020)

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

Required	Not Req	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (NOVEMBER 2020)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (NOV. 2020)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
		RAA5. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
X		RAA6. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (NOVEMBER 2020)
X		RAA7. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOVEMBER 2020)
X		RAA8. SUBAWARDS (DECEMBER 2014)
X		RAA9. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
	X	RAA10. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA11. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
	X	RAA12. PATENT RIGHTS (JUNE 2012)
X		RAA13. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
X		RAA14. INVESTMENT PROMOTION (NOVEMBER 2003)
	X	RAA 15. COST SHARE (JUNE 2012)
X		RAA16. PROGRAM INCOME (AUGUST 2020)
X		RAA17. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
X		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA19. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	X	RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
	X	RAA23. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JAN 2009)
X		RAA24. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
	X	RAA25. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA26. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
X		RAA27. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
X		RAA28. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DEC 2014)
		RAA29. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA30. RESERVED
X		RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

[END OF ANNEX 2: STANDARD PROVISIONS]

Annex 3 – Assistance Branding and Marking Resources

USAID Branding and Marking Policy can be found here:

<https://www.usaid.gov/sites/default/files/documents/320.pdf>

USAID’s Graphic Standard Manual and co-branding guide can be found here:

https://www.usaid.gov/sites/default/files/documents/1869/USAID_GSM-02_04_2020.pdf

Branding template is provided here and is also attached as a separate document:



Annex IV - Assistance
BMP Template.pdf



ANNEX IV -
USAID_GSM-02_04_2

[THE END OF ANNEX 3 – ASSISTANCE BRANDING AND MARKING RESOURCES]

Annex 4 - Construction Resources

a. USAID Implementation of Construction Activities - A Mandatory Reference for ADS Chapters 303:

<http://www.usaid.gov/ads/policy/300/303maw>

b. Management of Construction Risk - A Mandatory Reference for ADS Chapter 201:

<https://www.usaid.gov/sites/default/files/documents/201maw.pdf>

c. Construction Risk Assessment Tool is provided here and is also attached as a separate document:



Annex 5 - Preview of
Construction Risk Ass

[THE END OF ANNEX 4 – CONSTRUCTION RESOURCES]

ANNEX 5 - Kenya Country Development Cooperation Strategy:

<https://www.usaid.gov/kenya/documents/kenya-country-development-cooperation-strategy>

[THE END OF ANNEX 5 –KENYA COUNTRY DEVELOPMENT COOPERATION STRATEGY]